General Index

The General Index, which is the FBI's primary finding aid to information in its Headquarters files, originated in the early 1920's and parallels the development of the Bureau's case file system. In October 1921, the FBI separated its records from those of the Department of Justice, thereby ending an experiment begun the year before. The merged filing system had failed largely because of the absence of cross-indexing. In resuming responsibility for its files, however, the Bureau continued to use the classification system set up by the Justice Department, establishing subject categories focusing on violation areas and giving them a straight numerical designation. Initially the numbers 1 through 60, with some numbers left blank, were applied to the Bureau's files.

The first index card providing entry to the files were 5x8" in size. Because cross-reference cards contained the words "see also" they became known as "see" cards in Bureau parlance. Originally both main subject cards and see cards were typed in black. In 1924, Director Hoover ordered a change in card size to the now familiar 3x5" size. Also at that time classifiers were instructed to mark the items on documents that were to be indexed - a blue circle denoting the main subject of the correspondence and a red "X" noting cross reference material. This practice remains in use today. In 1935 the body of see cards began to be typed in red to more easily distinguish them from main subjects. This practice changed again in 1953 when the entire see card was typed in red. For the most part, however, very few stylistic changes in card format occurred over the years.

The content of index cards did change over time, however. Initially the FBI indexed very heavily due primarily to the Director's desire that virtually all information of potential value be indexed. As a basic rule, all names and subject matter set forth in the title of reports, and all data in the body of reports which, in the classifier's opinion, was of sufficient importance to warrant future reference, was indexed. This system required the classifiers to read the mail in its entirety and decide what information to index. Exceptions to this system were made in several classifications, however. In 1936, for instance, the classifiers indexed only names in the titles of communications in the following classifications: 17 (Veterans Administration matters); 29 (National Bank and Federal Reserve Act); 36 (Mail Fraud); 46 (Fraud Against the Government); 49 (Bankruptcy); 60 (Anti-Trust Laws); 77 (non-Bureau personnel matters); 82 (War Risk Insurance); and 83 (Court of Claims). This list was expanded over the years. By 1944, 6 more classifications were added to the 9 listed above with categories such as Selective Service Act and Reconstruction Finance Corporation among those receiving light indexing treatment.

Another early Bureau practice was to index names on lists when the list reflected possible association with a subversive group (e.g. Communist Party petitions or subscriptions to the Daily People's World) or where the names might have future reference value (American Legion contacts, loyalty forms). The heavy demands on staff time and resources, however, and the absence of substantial information about the individuals whose names appeared in this context caused the Bureau to limit indexing in these areas. In 1949 the Executive Conference decided that names on Communist Party petitions and subscription lists to the Daily Worker and Daily People's World be indexed in

the appropriate Field Office only.

Originally the index cards noted subject matter and the case file number (including serial numbers for cross references to specific documents) where relevant information could be found. Beginning in 1938, additional identifying data was added to the cards. First, locality by state was placed on the cards. In 1941 all the cards were automatically dated by a tickometer. Over time, race, official titles, and explanatory data where the name or subject matter was not self-explanatory was placed on the cards. In 1950, 4 additional elements were chosen for inclusion. When available, information regarding age or birthdate, birthplace, FBI identification number, and affiliation with subversive organizations and groups was noted. As had been the pattern, indexing in the security-related classifications continued to be greater than in the criminal and applicant classifications. In 1950, for instance, approximately 8,000 index cards were prepared each day, 6,560 of which fell within the subversive category. Because classifiers made indexing decisions on each piece of mail without regard to whether the information was duplicated in previously indexed correspondence, there was considerable overlapping of effort and multiple indexing of the same information.

Certain unique types of information on index cards came to be high-lighted through color-coding. Through the years, see references were prepared noting the location in a file of photographs, summary statements on the investigatiion to date, and testimony given in court. Called simply photograph, summary, or testimony cards, by 1954 these cards came to be typed on yellow rather than white paper stock.
Over the years the tension between Records Branch employees' efforts to keep the index a manageable size and the desires of Hoover and others to index virtually all information elements caused periodic reviews and suveys of indexing procedures. A 1952 survey resulted in a decision, effective June, 1953, that indexing of reports in <u>all</u> criminal cases be done only on the basis of names appearing in the title and synopsis. Prior to this decision, indexing on a limited basis had become standard practice in 30 classifications (17, 25, 29, 36, 42, 46, 48, 60, 62, 73, 76, 77, 83, 84, 85, 86, 88, 93, 96, 104, 115, 116, 118, 120, 123, 124, 126, 128 and 131. In 82, only information in the title was indexed.), reflecting a steady trend toward less indexing in non-security areas. The 1953 decision made it even more important for case Agents in the Field to incorporate all valuable data in the synopsis.

Although indexing decisions at Headquarters had always rested primarily with classifiers, Field Offices had an entirely different approach. In the field, primary responsibility for determining what to index rested with the Special Agent handling the case. Usually, the Chief Clerk's Office would automatically index information in the title and synopsis of reports and would determine <u>how</u> to index, but decisions on <u>what</u> to index rested with the case Agent. The result of these dichotomous processes was to create differences in the amount and nature of information indexed in the field compared with that at Headquarters.

The indexing of sensitive information received attention from time to time. In December of 1940 the Bureau began the practice of indexing correspondence from confidential informants into the General Index in addition to abstracting the information for the confidential informant index, which was maintained

separately. A typical entry might read "Confidential Informant NYC 75 furnished the following list of telephone calls for January, 1946, from the above number." This practice lasted only about 5 years, and in 1968 all such cards were purged from the General Index. Other information, such as see references that gave both an informant's code name and true name, or associated specific informants with specific cases, remained in the index.

Periodically, the question of indexing surveillance activities was discussed. The Executive Conference, in April of 1946, decided that generally classifiers should not index the results of mail covers and technical surveillance. It appears, however, that at least in some Field Offices index cards were prepared for such materials as surveillance logs. Eventually, Headquarters developed the practice of deciding on a classification by classification basis whether to index the results of mail covers or surveillance activities. By 1976, the instructions for classifiers indicated that indexing this information was necessary in less than 20 classifications.

Between 1975 and 1980, the Bureau made a series of decisions which changed indexing procedures, including the handling of sensitive information. Because criminal elements had obtained information from indices which led to the identification and subsequent death of Bureau informants, the FBI decided to remove all references to informants from Field Office indexes. Highly sensitive or specialized information had traditionally been maintained in separate indices (see report on special indexes), but more routine data on or from informants was noted in the General Index. Around 1978 index cards relating to informant activity or identity was placed in the Special File Room, a secure area with very limited access. At that time the Bureau's system for filing records relating to informant activity or identity also changed in order to further protect activities and names of informants.

More sweeping changes in indexing procedures at Headquarters occurred in 1976. At that time the long-standing system of using clerical personnel (classifiers) at Headquarters to prepare index cards was abandoned. Instead, the case Agent in the field, who had always made indexing decisions for Field Office indices, was authorized to designate the content of Headquarters index cards. The new criteria issued to Agents mandated them to index all main subjects of an investigation mentioned in the title or synopsis of a communication, and to request that see references be prepared on 1) prime suspects, 2) close relatives and associates where warranted, 3) complaintant and victim where warranted, and 4) any other data considered by the Agent to be significant. When proposing this change in the indexing system, a Bureau official noted that "the new . . . criteria basically differs from what is now being done at FBI Headquarters in that classifiers now index all relatives and associates in security cases and pertinent data in the synopsis of criminal cases. Under the new proposed guidelines, relatives and associates will be indexed in any case <u>only as warranted</u> [sic] by the case Agent. This is really not a departure from current field procedures . . . ." (66-19161-9, June 24, 1975).

The reasons for investing the field with authority to determine the content of the Headquarters General Index, a seemingly radical departure from tradition, were multiple. There had been intense Congressional interest in Bureau investigative techniques and the volume of information, derogatory or otherwise, that Bureau files held on millions of U.S. citizens. This interest

included indexing procedures. In addition, the discrepancy between the content of index cards in the field and those at Headquarters had long been recognized as potentially disadvantageous. Of perhaps greatest importance, however, was the Bureau's desire to move toward a central automated index. In order to permit "source data entry," a key element in the proposed automated system, Headquarters needed to give the Field Office basic authority for determining what and how to index.

Another change emanating from the decision to automate was the division of the General Index into two sections - active and inactive files. The inactive Index holds cards for all criminal cases which have been closed since 1973, and for all security cases which have been closed since 1958. All other cards are placed in the active Index. Current Bureau practice in responding to a request for an indices check is to search only the active Index unless a broader search is specifically requested. In addition, the Bureau plans to place on computer all cards contained in the active Index, but does not plan to do so for cards maintained in the inactive Index.

Today the General Index (active and inactive combined) holds approximately 65,500,000 cards. There are 33,969 drawers of cards in the inactive Index and 24,480 drawers of cards in the active Index. Although the cards to purged case files are destroyed when the file itself is destroyed, the number of cards being added to the Index daily greatly exceeds those being destroyed at Headquarters. Destruction of both files and index cards has been significantly greater in the field than at Headquarters, causing some Field Offices to actually reduce the size of their index. During a campaign in the early 1970's to clean out unnecessary cards in the Field Office indices, for instance, the San Francisco Office reduced the size of its index by approximately one-half. Nonetheless, the Bureau can anticipate continued growth of its Headquarters General Index. If current plans are implemented, however, by the turn of the century all index information will be automated and the use of 3x5" cards will cease. (For more information on the Bureau's planned and existing automated finding aids, see the Special Study prepared on that subject.)

Disposition Suggestion

The Task Force's preliminary disposition decision regarding index cards at Headquarters and in the field is:

> If the case file has been scheduled for transfer to the National Archives, all main subject and see cards for that case file should also be transferred. All other index cards may be destroyed when their administrative use by the Bureau ceases.

Specialized Indexes

The Headquarters indexes listed in the November 17, 1980 Federal Register were inspected to verify their existence, to determine their arrangement and use, and to reach some appraisal judgement concerning their archival value. We also inspected special indexes in the seven field offices we visited. In a strict sense many of these are not what normally would be considered indexes, that is finding aids to other bodies of data. Many are lists, photograph albums, wanted circulars and posters, or other collections which for Privacy Act purposes were listed in the Federal Register because most are accessible by the name of an individual.

These specialized indexes are maintained by the FBI as administrative, research, and investigative aids. Some largely duplicate index entries in the main Central Records System index, but are maintained in the operating divisions and field offices largely for convenience. Several of the fugitive type indexes, for example, are exact duplicates of main index entries but are kept separately by fugitive type (deserter, bank robber, etc.) to allow the Criminal Investigative Division at Headquarters to better coordinate current field office investigations of this character. Others are administrative aids or are maintained for statistical purposes. The Evidence Control Index enables the FBI Laboratory to keep track of material sent to it for analysis, while the Mail Cover Statistics Index provides current information on the number of such covers presently in use. Several of the photograph albums and the Laboratory collections are research aids of use in identifying subjects of investigations or in analyzing evidence. Finally, several of the indexes allow the FBI to identify sources of information or subjects of investigation in a particular field, such as organized crime or foreign counterintelligence.

Although many of these specialized indexes provide access to the Central Records System, that is they include Bureau or office of origin case file numbers, they are separate from that system. All were created to meet the immediate needs of the operating divisions at Headquarters and the field offices. No computerized indexes were considered in this examination, with one or two exceptions where the Bureau normally uses the hard copy of a computer generated index. In addition, several items not listed in the Federal Register were included in our examination, including six indexes the titles of which are currently security-classified which were appraised as permanent.

Descriptions of the indexes and appraisal decisions follow. In general, our appraisal decisions rested on the value of the information in the index itself, the importance of the investigative area involved, whether or not the information was duplicated elsewhere, and whether the index was cumulative and had continuing value or was merely a current investigatve or administrative aid.

Disposition Instructions-Indexes	HQ	Field Offices
Administrative Index (ADEX)	P	D
Anonymous Letter File	D	N/A
Associates of Class I DEA Narcotics Violators	D	D
Background Investigation Index-Justice Department	D	N/A
Background Investigation Index-White House, etc.	D	N/A
Background Investigations Index-DOE, etc.	D	N/A
Bank Fraud and Embezzlement Index	N/A	D
Bank Robbery Album	N/A	D
Bank Robbery Nickname Index	N/A	D
Bank Robbery Note File	D	N/A
Bank Robbery Suspect Index	N/A	D
Car Ring Case Photo Album	N/A	D
Car Ring Case Photo Album and Index	N/A	D
Car Ring Case Toll Call Index	N/A	D
Car Ring Theft Working Index	D	N/A
Cartage Album	N/A	D
Channelizing Index	N/A	D
Check Circular File	D	D
Con Man Index	D	N/A
Confidence Game Album	N/A	D
Copyright Matters Index	N/A	D
Criminal Intelligence Index	N/A	D
Criminal Informant Index	P	N/A
DEA Class I Narcotics Violators Listing	D	D
Deserter Index	N/A	D
Electronic Surveillance Index (ELSUR)	P (part)	D

Extremist Informant Index	P	N/A
Extremist Photo Album	P	D
False Indentities Index	D	N/A
False Indentities Program List	N/A	D
False Indentity Photo Album	N/A	D
FBI Wanted Persons Index	D	D
Foreign Counterintelligence Asset Index	P	N/A
Fraud Against the Government	N/A	D
Fugitive Bank Robbers File	D	D
General Security Index	N/A	D
Hoodlum License Plate Index	N/A	D
Identification Order Fugitive Flier File	P	D
Informant Index	N/A	D
Informants in Other Field Offices, Index of	N/A	D
Interstate Transport of Stolen Aircraft Photo Album	N/A	D
IRS Wanted List	N/A	D
Key Activist Program Photo Album	P	D
Key Extremist Program Listing	P	N/A
Kidnapping Book	D	N/A
Known Check Passers Album	N/A	D
Known Gambler Index	N/A	D
La Cosa Nostra Membership Index	P	D
Leased Line Letter Request Index	D	N/A
Mail Cover Index	P	N/A
Military Deserter Index	D	N/A
National Bank Robbery Album	D	D
National Fraudulent Check File	D	N/A

National Security Electronic Surveillance Card File	P	N/A
Night Depository Trap Index	D	N/A
Organized Crime Photo Album	N/A	D
Photospread Identification Elimination File	N/A	D
Prostitute Photo Album	N/A	D
Royal Canadian Mounted Police Wanted Circular File	N/A	D
Security Informant Index	P	N/A
Security Subjects Control Index	N/A	D
Security Telephone Number Index	N/A	D
Selective Service Violators Index	D	N/A
Skyjack Fugitive Album	D	D
Sources of Information Index	N/A	D
Special Services Index	N/A	D
Stolen Checks and Fraud by Wire Index	N/A	D
Stop Notices Index	N/A	D
Surveillance Locator Index	N/A	D
Symbionese Liberation Army Index	P	D
Telephone Numbers Index—Gamblers	N/A	D
Telephone Subscriber and Toll Records Check Index	N/A	D
Thieves, Couriers, and Fences Photo Index	N/A	D
Toll Record Request Index	D	N/A
Top Burglar Album	N/A	D
Top Echelon Criminal Informant Program	P	D
Top Ten Program File	P	D
Top Thief Program Index	N/A	D
Truck Hijack Photo Album	N/A	D
Truck Thief Suspect Photo Album	N/A	D

Traveling Criminal Photo Album	N/A	D
Veterans Administration/Federal Housing Administration Index	N/A	D
Wanted Fliers File	P	D
Wheeldex	N/A	D
White House Special Index	D	N/A
Witness Protection Program Index	D	N/A
National Security Electronic Surveillance Statistics File	D	N/A
National Security Electronic Surveillance File	P	N/A
Mail Cover Statistics Index	D	N/A
Foreign Police Cooperation Index	D	N/A
Gambling Case Listing	D	N/A
Evidence Control Index	D	N/A
Weatherman Photo Album	P	D

Title of Index:
Administrative Index (ADEX)

Description and Use:
Consists of cards with descriptive data on individuals who were subject to investigation in a national emergency because they were believed to constitute a potential or active threat to the internal security of the United States. When ADEX was started in 1971, it was made up of people who were formerly on the Security Index, Reserve Index, and Agitator Index.

Maintained at:
Headquarters: Yes
Field Office: Yes (29)

Recommendations and Justification:
The Headquarters ADEX includes main index entries by name, alias cards, and cards on individuals removed from ADEX before the program was cancelled. In proximity to the index itself are three legal size file drawers containing documentation relating to the various detention programs.

Given the importance and sensitivity of the ADEX program, at Headquarters the index and supporting documentation are permanent. Because they largely duplicate the Headquarters index, all field office Administrative Index are disposable.

Disposal Instructions:
Headquarters: Permanent (index and supporting documentation)
Field Office: Disposable

Title of Index:
Anonymous Letter File

Description and Use:
Consists of photographs of anonymous communications and extortionate credit transactions, kidnapping, extortion and threatening letters.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
This is simply a reference aid used by the FBI Laboratory in identifying possible authors of anonymous letters. It has no archival value.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Bank Fraud and Embezzlement Index.

Description and Use:
Consists of individuals who have been the subject of "Bank Fraud and Embezzlement" investigation. This file is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendations and Justification:
Used as an investigative aid in one field office and covers subjects of interest only to that office. It has too narrow a scope to warrant permanent retention.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Bank Robbery Album.

Description and Use:
Consists of photos of bank robbers, burglars, and larceny subjects. In some field offices it will also contain pictures obtained from local police departments of known armed robbers and thus potential bank robbers. This index is used to develop investigative leads in bank robbery cases and may also be used to show to witnesses of bank robberies. It is usually filed by race, height, and age. This index is also maintained in one resident agency (a suboffice of a field office).

Maintained at:
Headquarters: No
Field Office: Yes (47)

Recommendations and Justification:
Used in field offices as an investigative aid; consists of current suspects only, not cumulative. Not of sufficient research value to be retained.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Bank Robbery Nickname Index.

Description and Use:
Consists of nicknames used by known bank robbers. The index card on each would contain the real name and method of operation and are filed in alphabetical order.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendations and Justification:
Used as an investigative aid in one field office and covers subjects of interest only to that office. It has too narrow a scope to be permanently retained.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Bank Robbery Note File.

Description and Use:
Consists of photographs of notes used in bank robberies in which the suspect has been identified. This index is used to help solve robberies in which the subject has not been identified but a note was left. The note is compared with the index to try to match the sentence structure and handwriting for the purpose of identifying possible suspects.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Used by the FBI laboratory to assist in analyzing notes from bank robberies. Not of sufficient research value to be permanently retained.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Bank Robbery Suspect Index.

Description and Use:
Consists of a control file of index cards with photos, if available, on bank robbers or burglars. In some field offices these people may be part of the bank robbery album. This index is generally maintained and used in the same manner as the bank robbery album.

Maintained at:
Headquarters: No
Field Office: Yes (33)

Recommendations and Justification:
Used as an investigative aid in field offices and covers subjects of interest only to the field office maintaining the index. It contains only current subjects. This index is of too narrow a scope to be permanently retained.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Car Ring Case Photo Album.

Description and Use:
Consists of photos of subjects involved in a large car theft ring investigation. It is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (3)

Recommendations and Justification:
Maintained in only three field offices. It is of too narrow a scope to be permanently retained.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Car Ring Case Photo Album and Index.

Description and Use:
Consists of photos of subjects and suspects involved in a large car theft ring investigation. The card index maintained in addition to the photo album contains the names and addresses appearing on fraudulent title histories for stolen vehicles. Most of these names appearing on these titles are fictitious. Both the photo album and card indexes are used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendations and Justification:
Maintained in only one field office. It is of too narrow a scope to be permanently retained.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Car Ring Case Toll Call Index.

Description and Use:
Consists of cards with information on persons who subscribe to telephone numbers to which toll calls have been placed by the major subjects of a large car theft ring investigation. It is maintained numerically by telephone number. It is used to facilitate the development of probable cause for a court-appointed wiretap.

Maintained at:
Headquarters: No
Field Office: Yes (2)

Recommendations and Justification:
Maintained in only two field offices. It is of too narrow a scope to be permanently retained.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Car Ring Theft Working Index.

Description and Use:
Contains cards on individuals involved in car ring theft cases on which the FBI laboratory is doing examination work.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Used by the FBI Laboratory as an administrative aid in keeping track of evidence. It is not of sufficient value to be permanently retained.

Disposition Instructions:
Heaquarters: Disposable
Field Office: N/A

Title of Index:
Cartage Album.

Description and Use:
Consists of photos with descriptive data of individuals who have been convicted of theft from interstate shipment or interstate transportation of stolen property where there is a reason to believe they may repeat the offense. It is used in investigating the above violations.

Maintained at:
Headquarters: No
Field Office: Yes (3)

Recommendations and Justification:
Used as an investigative aid in three field offices and covers subjects of interest only to the office maintaining the index. It has too narrow a scope to be permanently retained.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Channelizing Index.

Description and Use:
Consists of cards with the names and case file numbers of people who are frequently mentioned in informant records. The index is used to facilitate the distributing or channeling of informant reports to appropriate files.

Maintained at:
Headquarters: No
Field Office: Yes (9)

Recommendations and Justification:
Maintained at only nine field offices as an administrative aid to assist in filing reports. It is not of sufficient research value to warrant permanent retention.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Check Circular File

Description and Use:
Consists of fliers filed numerically in a control file on fugitives who are notorious fraudulent check passers and who are engaged in a continuing operation of passing checks. The fliers which include the subject's name, photo, a summary of the subject's method of operation and other identifying data is used to alert other FBI field offices and business establishments which may be the victims of bad checks.

Maintained at:
Headquarters: Yes
Field Office: Yes (43)

Recommendations and Justification:
These are essentially wanted posters for fraudulent check passers. They are not of sufficient research value to warrant permanent retention.

Disposition Instructions:
Headquarters: Disposable
Field Office: Disposable

Title of Index:
Con Man Index.

Description and Use:
Consists of index cards with names of individuals, along with company affiliation, who travel nationally and internationally while participating in large-dollar-value financial swindles.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
This is now computer generated and exists in booklet (printout) form. It is not sufficiently unique or of potential research value to warrant permanent retention.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Confidence Game (Flim Flam) Album.

Description and Use:
Consists of photos with descriptive information on individuals who have been arrested for confidence games and related activities. It is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (4)

Recommendations and Justification:
Used as an investigative aid in four field offices. It is of too narrow a scope and of such limited research potential to warrant permanent retention.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Copyright Matters Index.

Description and Use:
Consists of cards of individuals who are film collectors and film titles. It is used as a reference in the investigation of copyright matters.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendations and Justification:
Used as an investigative aid in one field office. It is too narrow in scope to warrant permanent retention.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Criminal Intelligence Index.

Description and Use:
Consists of cards with name and file number of individuals who have become the subject of an antiracketeering investigation. The index is used as a quick way to ascertain file numbers and the correct spelling of names. This index is also maintained in one resident agency.

Maintained at:
Headquarters: No
Field Office: Yes (2)

Recommendations and Justification:
Maintained at two field offices as an administrative aid to filing and locating reports. Because it is so limited in scope and largely duplicated in the Central Records System index, this index is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Criminal Informant Index.

Description and Use:
Consists of cards containing identity and brief background information on all active and inactive informants furnishing information in the criminal area.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Because this index is cumulative, covering both active and inactive informants, and because of the importance of informants to FBI investigative activity, this index should be retained permanently.

Disposition Instructions:
Headquarters: Permanent
Field Office: N/A

Title of Index:
DEA Class I Narcotics Violators Listing.

Description and Use:
Consists of a computer listing of narcotic violators—persons known to manufacture, supply, or distribute large quantities of illicit drugs—with background data. It is used by the FBI in their role of assisting DEA in disseminating intelligence data concerning illicit drug trafficking. This index is also maintained in two resident agencies.

Maintained at:
Headquarters: Yes
Field Office: Yes (59)

Recommendations and Justification:
Based on information furnished by the Drug Enforcement Administration the FBI uses this as a ready reference and as an investigative aid. Because of the current, administrative use of this listing it is not permanently valuable.

Disposition Instructions:
Headquarters: Disposable
Field Office: Disposable

Title of Index:
Deserter Index.

Description and Use:
Contains cards with the names of individuals who are known military deserters. It is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (4)

Recommendations and Justification:
Used by four field offices as an investigative aid in a very narrow class of fugitive investigations. Because of its narrow scope this index is not permanently valuable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Electronic Surveillance Index.

Description and Use:
Consists of names of individuals who have been the targets of direct FBI electronic surveillance, who have participated in conversations monitored by the FBI, or who have owned, leased, licensed premises on which the FBI has conducted electronic surveillance. The index includes coverage since 1960 and is maintained to enable the FBI to respond to judicial inquiries about possible electronic surveillance coverage of witnesses, defendents, or attorneys involved in Federal court proceedings.

Maintained at:
Headquarters: Yes
Field Office: Yes (59)

Recommendations and Justification:
The Field Office indexes are duplicated at Headquarters and are therefore disposable. The majority of names in this index are for individuals overheard or mentioned in monitored conversations; they are also phonetic spellings. The main subject cards comprise a considerably smaller portion of the index, are clearly identifiable individuals, and were clearly the subject of FBI investigations. The main subject cards are permanent the "overhears" and "mentions" are disposable.

Disposition Instructions:
Headquarters: "Principal" cards - Permanent; "Proprietary interest" cards - Permanent; "Overhear" cards and any others, such as the early "Mention" cards - Disposable.
Field Office: Disposable

Title of Index:
Extremist Informant Index.

Description and Use:
Consists of cards with identity and background data on all inactive extremist informants. It was used as a reference to aid in the supervision of the informant program. This index was discontinued in November 1976.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Given the importance of use of informants in FBI investigations, this index is permanently valuable.

Disposition Instructions:
Headquarters: Permanent
Field Office: N/A

Title of Index:
Extremist Photo Album.

Description and Use:
Consists of photos mounted on pages containing descriptions of known extremist fugitives and informants. All persons in the Key extremist program were included in this album. Used for ready reference and fugitive identification. This photo album was discontinued in January 1977.

Maintained at:
Headquarters: Yes
Field Offie: Yes (20)

Recommendations and Justification:
Given the FBI investigative effort expended during the 1960s and 1970s in this area, the Headquarters album is permanently valuable; Field Office albums duplicate that in Headquarters and are therefore disposable.

Disposition Instructions:
Headquarters: Permanent
Field Office: Disposable

Title of Index:
False Identities Index.

Description and Use:
Contains cards with the names of deceased individuals whose birth certificates have been obtained by other persons for possible false identification uses and in connection with which the FBI laboratory has been requested to perform examinations.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Maintained by the FBI laboratory as an administrative aid to keep track of examinations it has performed on identity papers of deceased persons. It is not permanently valuable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
False Identities Program List.

Description and Use:
Consists of a listing of names of deceased individuals whose birth certificates have been obtained after the person's death, and thus whose names are possibly being used for false identification purposes. The listing is maintained as part of the FBI's program to find persons using false identifies for illegal purposes.

Maintained at:
Headquarters: No
Field Office: Yes (31)

Recommendations and Justification:
Maintained in Field Offices as an investigative aid. Not of sufficient research potential to warrant permanent retention.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
False Identity Photo Album.

Description and Use:
Consists of names and photos of people who have been positively identified as using a false identification. This is used as an investigative aid in the FBI's investigation of false identities.

Maintained at:
Headquarters: No
Field Office: Yes (2)

Recommendations and Justification:
Maintained as an investigative aid in two Field Offices. Not of sufficient research potential to warrant permanent retention.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
FBI Wanted Persons Index.

Description and Use:
Consists of cards on persons being sought on the basis of Federal warrants covering violations which fall under the jurisdiction of the FBI. It is used as a ready reference to identify those fugitives.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Maintained at Headquarters to keep track of current fugitive investigations; duplicates Central Records System index entries. It is only for current investigations, not cumulative. It is not of sufficient research value to warrant permanent retention.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Foreign Counterintelligence (FCI) Assest Index.

Description and Use:
Consists of cards with identity background data on all active and inactive operational and informational assets in the foreign counterintelligence field. It is used as a reference aid of the FCI Asset program.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Because it relates to an important aspect of the FBI's foreign counterintelligence program, this index is permanent.

Disposition Instructions:
Headquarters: Permanent
Field Office: N/A

Title of Index:
Fraud Against the Government Index.

Description and Use:
Consists of individuals who have been the subject of a "fraud against the Government" investigation. It is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendations and Justification:
Maintained in one Field Office as an investigative aid. It does not have sufficient research value to warrant permanent retention.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Fugitive Bank Robbers File.

Description and Use:
Consists of fliers on bank robbery fugitives filed sequentially in a control file. FBI Headquarters distributes to the Field Offices fliers on bank robbers in a fugitive status for 15 or more days to facilitate their location.

Maintained at:
Headquarters: Yes
Field Office: Yes (43)

Recommendations and Justification:
Essentially wanted posters on fugitive bank robbers. This file is too narrow in scope and lacks sufficient research value to warrant permanent retention.

Disposition Instructions:
Headquarters: Disposable
Field Office: Disposable

Title of Index:
General Security Index.

Description and Use:
Contains cards on all persons that have been the subject of a security classification investigation by the FBI field office. These cards are used for general reference purposes.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendation and Justification:
An administrative aid maintained at one Field Office to assist in background investigations. Not of sufficient value to warrant permanent retention.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Hoodlum License Plate Index.

Description and Use:
Consists of cards with the license plates numbers and descriptive data on known hoodlums and cars observed in the vicinity of hoodlum homes. It is used for quick identification of such persons in the course of investigation. The one index which is not fully retrievable is maintained by a resident agency.

Maintained at:
Headquarters: No
Field Office: Yes (3)

Recommendations and Justification:
Maintained at three Field Offices as an investigative aid. It is not of sufficient research value to warrant permanent retention.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposasble

Title of Index:
Identification Order Fugitive Flier File.

Description and Use:
Consists of fliers filed numerically in a control file. When immediate leads have been exhausted in fugitive investigations and a crime of considerable public interest has been committed, the fliers are given wide circulation among law enforcement agencies throughout the United States and are posted in post offices. The fliers contain the fugitive's photograph, fingerprints and description.

Maintained at:
Headquarters: Yes
Field Office: Yes (49)

Recommendations and Justification:
Consists of wanted posters of fugitive investigations carried out by the FBI since 1919. The Headquarters file should be retained as a record set; the Field Office files duplicate Headquarters and are therefore disposable.

Disposition Instructions:
Headquarters: Permanent
Field Office: Disposable

Title of Index:
Informant Index.

Description and Use:
Consists of cards with the name, symbol numbers, and brief background information on the following categories of active and inactive informants, top echelon criminal informants, security informants, criminal informants, operational and informational assets, extremist informants (discontinued), plant informant—informants on and about certain military bases (discontinued), and potential criminal informants.

Maintained at:
Headquarters: No
Field Office: Yes (59)

Recommendations and Justification:
Each Field Office maintains an index of informants currently and previously operated by that office. But because the informant indexes at Headquarters duplicate these Field Office indexes and the Headquarters indexes have been appraised as permanent, the Field Office indexes are disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Informants in Other Field Offces, Index of.

Description and Use:
Consists of cards with names and/or symbol numbers of informants in other FBI Field Offices that are in a position to furnish information that may be of value to other Field Offices. Basic background information would also be included on the index card.

Maintained at:
Headquarters: No
Field Office: Yes (15)

Recommendations and Justification:
Because the information about informants included in these indexes is duplicated in the Headquarters informant indexes, these indexes are disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Interstate Transportation of Stolen Aircraft Photo Album.

Description and Use:
Consists of photos and descriptive data on individuals who are suspects known to have been involved in interstate transportation of stolen aircraft. It is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendations and Justifications:
Because it is maintained at only one Field Office and has little potential research value, this index is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
IRS Wanted List.

Description and Use:
Consists of one-page fliers from IRS on individuals with background information who are wanted by IRS for tax purposes. It is used in the identification of persons wanted by IRS.

Maintained at:
Headquarters: No
Field Office: Yes (11)

Recommendations and Justification:
Because the principal responsibility for apprehending IRS violators rests with an agency other than the FBI and because it concerns such a narrow range of fugitives, this list is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Key Activist Program Album.

Description and Use:
Consists of photos mounted on pages containing descriptive data on selected individuals advocating civil disobedience and other unlawful and disruptive acts. It was used to intensify the investigative effort on those persons. This index was discontinued in February 1975.

Maintained at:
Headquarters: Yes
Field Office: Yes (47)

Recommendations and Justification:
Given the FBI investigative effort expended in the 1960s and 1970s in this area, the Headquarters album is permanent. Field Office albums duplicate Headquarters and are therefore disposable.

Disposition and Instructions:
Headquarters: Permanent
Field Office: Disposable

Title of Index:
Key Extremist Program Listing.

Description and Use:
Contains a listing of selected individuals who were under investigation for extremist activities and on whom investigation was to be intensified. Individuals included those who traveled extensively and called for civil disobedience and unlawful or disruptive acts. It was used to intensify the investigative effort on those persons. This index was discontinued in February 1975.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Given the FBI investigative effort expended during the 1960s and 1970s in this area, the listing is permanently valuable.

Disposition Instructions:
Headquarters: Permanent
Field Office: Disposable

Title of Index:
Kidnapping Book.

Description and Use:
Consists of data, filed chronologically, on kidnappings that have occurred since the early fifties. The victims' names and the suspects, if known, would be listed with a brief description of the circumstances surrounding the kidnapping. The file is used as a reference aid in matching up prior methods of operation in unsolved kidnapping cases.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Used as a reference aid at Headquarters. Given the limited research value of this book, it is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Known Check Passers Album.

Description and Use:
Consists of photos with descriptive data of persons known to pass stolen, forged, or counterfeit checks. It is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (4)

Recommendations and Justification:
Used as an investigative aid in only four Field Offices. Because of the limited use and narrow range of violators involved, this album is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Known Gambler Index.

Description and Use:
Consists of cards with names, descriptive data, and sometimes photos of individuals who are known bookmakers and gamblers. The index is used in organized crime and gambling investigations.

Maintained at:
Headquarters: No
Field Office: Yes (5)

Recommendations and Justification:
Used as an investigative aid in only five Field Offices. Because of the limited use and narrow range of violators involved, this index is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
La Cosa Nostra (LCN) Membership Index.

Description and Use:
Contains cards on individuals having been identified as members of the LCN. The cards contain personal data and pictures. The index is used solely by FBI agents for assistance in investigating organized crime matters.

Maintained at:
Headquarters: Yes
Field Office: Yes (55)

Recommendations and Justification:
The Field Office indexes duplicate those in Headquarters and are thus disposable. The Headquarters index is permanent as it identifies an important segment of criminals.

Disposition Instructions:
Headquarters: Permanent
Field Office: Disposable

Title of Index:
Leased Line Letter Request Index.

Description and Use:
Contains cards on individuals and organizations who are or have been the subject of a national security electronic surveillance where a leased line letter was necessary. It is used as an administrative and statistical aid.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendaitons and Justification:
Because this index relates to only a small portion of electronic surveillance coverage instituted by the FBI, and because indexes related to the broader coverage have been appraised as permanent, this index is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Mail Cover Index

Description and Use:
Consists of cards containing a record of all mail covers conducted on individuals and groups since about January 1973. It is used for reference in preparing mail cover requests.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
This index actually includes mail covers initiated back to about 1960. Given the sensitivity of this investigative technique, the index is permanent.

Disposition Instructions:
Headquarters: Permanent
Field Office: Disposable

Title of Index:
Military Deserter Index

Description and Use:
Consists of cards containing the names of all military deserters where the various military branches have requested FBI assistance in locating. It is used as an administrative aid.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
A current, non-cumulative administrative aid to assist Headquarters in supervising this character of fugitive investigations. Given the narrow scope and non-cumulative character, this index is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
National Bank Robbery Album.

Description and Use:
Consists of fliers on bank robbery suspects filed sequentially in a control file. When an identifiable bank camera photograph is available and the case has been under investigation for 30 days without identifying the subject, FBIHQ sends a flier to the field offices to help identify the subject.

Maintained at:
Headquarters: Yes
Field Office: Yes (42)

Recommendations and Justification:
These are wanted posters on unknown bank robbery subjects; used as an investigative aid. Because it involves unknown subjects and lacks potential research value, this album is not permanent.

Disposition Instructions:
Headquarters: Disposable
Field Office: Disposable

Title of Index:
National Fraudulent Check File.

Description and Use:
Contains photographs of the signatures on stolen counterfeit checks. It is filed alphabetically but there is no way of knowing if the names are real or fictitious. The index is used to help solve stolen check cases by matching checks obtained in such cases against the index to identify a possible suspect.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Used by the FBI laboratory to assist in analyzing evidence. Given the narrow uses of this file and lack of research potential, the file is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
National Security Electronic Surveillance Card File.

Description and Use:
Contains cards recording electronic surveillances previously authorized by the Attorney General and previously and currently authorized by the FISC; current and previous assets in the foreign counterintelligence field; and a historical, inactive section which contains cards believed to record non-consented physical entries in national security cases; previous toll billings, mail covers and leased lines. The inactive section also contains cards reflecting previous Attorney General approvals and denials for warrantless electronic surveillance in the national security cases.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
This file covers surveillances back to about 1941. Given the importance and sensitivity of this investigative technique, the file is permanent.

Disposition Instructions:
Headquarters: Permanent
Field Office: N/A

Title of Index:
Night Depository Trap Index.

Description and Use:
Contains cards with the names of persons who have been involved in the theft of deposits made in bank night depository boxes. Since these thefts have involved various methods, the FBI uses the index to solve such cases by matching up similar methods to identify possible suspects.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Used by the FBI laboratory in analyzing evidence submitted in a very narrow range of bank thefts. Given the lack of potential research value, this index is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Organized Crime Photo Album.

Description and Use:
Consists of photos and background information on individuals involved in organized crime activities. The index is used as a ready reference in identifying organized crime figures within the field offices' jurisdiction.

Maintained at:
Headquarters: No
Field Office: Yes (13)

Recommendations and Justification:
Because the Headquarters La Cosa Nostra Membership Index is permanent, these Field Office indexes are disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Photospread Identification Elimination File.

Description and Use:
Consists of photos of individuals who have been subjects and suspects in FBI investigations. It also includes photos received from other law enforcement agencies. These pictures can be used to show witnesses of certain crimes.

Maintained at:
Headquarters: No
Field Office: Yes (14)

Recommendations and Justification:
These are essentially "mug shots" used in fourteen Field Offices to assist in identification of subjects of investigations. Because they have such limited potential research value, they are disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Prostitute Photo Album.

Description and Use:
Consists of photos with background data on prostitutes who have prior local or Federal arrests for prostitution. It is used to identify prostitutes in connection with investigations under the White Slave Traffic Act.

Maintained at:
Headquarters: No
Field Office: Yes (4)

Recommendations and Justification:
Used as an investigative aid in only four Field Offices. Given the narrow scope of its use, it is not permanently valuable.

Disposition Instructions:
Headquarters: N/A
Field Office: Dispoable

Title of Index:
Royal Canadian Mounted Police Wanted Circular File.

Description and Use:
Consists of a control file of individuals with background information of persons wanted by the RCMP. It is used to notify the RCMP if an individual is located.

Maintained at:
Headquarters: No
Field Office: Yes (17)

Recommendations and Justification:
Used as an administrative aid in a narrow range of fugitive investigations. It is not permanently valuable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Security Informant Index.

Description and Use:
Consists of cards containing identity and brief background information of all active and inactive informants furnishing information in the criminal area.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Given the importance of informants in FBI investigative activity, this index is permanently valuable.

Disposition Instructions:
Headquarters: Permanent
Field Office: N/A

Title of Index:
Security Subjects Control Index.

Description and Use:
Consists of cards containing the names and case file numbers of individuals who have been subject to security investigations check. It is used as a reference source.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendations and Justification:
Used as a reference aid in one Field Office to assist in administering background check investigations. It is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Security Telephone Number Index.

Description and Use:
Contains cards with telephone subscriber information subpoenaed from the telephone company in any security investigation. It is maintained numerically by the last three digits in the telephone number. It is used for general reference purposes in security investigations.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendations and Justification:
Used in one Field Office as a reference aid in a narrow area of electronic surveillance coverage. Because much broader coverage of electronic surveillance activity is documented by several Headquarters indexes which are permanent, this index is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Selective Service Violators Index.

Description and Use:
Contains cards on individuals being sought on the basis of Federal warrants for violation of the Selective Service Act.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
A current, non-cumulative administrative aid used at Headquarters in supervising a narrow range of fugitive investigations. It is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Skyjack Fugitive Album.

Description and Use:
Contains photographs with descriptive data of fugitives wanted for skyjacking. It is used as a reference aid in cases where the fugitive may reenter the United States.

Maintained at:
Headquarters: Yes
Field Office: Yes (5)

Recommendations and Justification:
A current album used in identification of subjects of skyjack investigations. As it involves a narrow range of fugitives and is not cumulative, this album is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: Disposable

Title of Index:
Sources of Information Index

Description and Use:
Consists of cards on individuals and organizations such as banks, motels, local governments that are willing to furnish information to the FBI with sufficient frequency to justify listing for the benefit of all agents. It is maintained to facilitate the use of such sources.

Maintained at:
Headquarters: No
Field Office: Yes (10)

Recommendations and Justification:
Used in ten Field Offices as an investigative aid in identifying possible sources of information on various subjects. Not of sufficient research value to warrant permanent retention.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Special Services Index.

Description and Use:
Contains cards of prominent individuals who are in a position to furnish assistance in connection with FBI investigative responsibilities.

Maintained at:
Headquarters: No
Field Office: Yes (28)

Recommendations and Justification:
Because we have appraised as permanent Field Office files in class 62 relating to "sources of information," these special indexes in the 28 Field Offices are disposable.

Disposition Instructions:
Headquarters: N/A
Field Offices: Disposable

Title of Index:
Stolen Checks and Fraud by Wire Index.

Description and Use:
Consists of cards on individuals involved in check and fraud by wire violations. It is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendations and Justification:
Used as an investigative aid in only one Field Office. Of such narrow scope as not to be permanently valuable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Stop Notices Index.

Descripton and Use:
Consists of cards on names of subjects or property where the Field Ofice has placed a stop at another law enforcement agency or private business such as pawn shops in the event information comes to the attention of that agency concerning the subject or property. This is filed numerically by investigative classification. It is used to insure that the agency where the stop is placed is notified when the subject is apprehended or the property is located or recovered.

Maintained at:
Headquarters: No
Field Office: Yes (43)

Recommendations and Justification:
Used by Field Offices as an investigative and administrative aid in current cases. Because it is not cumulative and has only limited use, this index is not permanent.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Surveillance Locator Index

Description and Use:
Consists of cards with basic data on individuals and businesses which have come under physical surveillance in the city in which the field office is loacted. It is used for general reference purposes in antiracketeering investigations.

Maintained at:
Headquarters: No (Federal Register listing is in error.)
Field Office: Yes (2)

Recommendations and Justification:
Because it is used in only two Field Offices and involves a narrow range of FBI investigative procedures, the index is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Symbonese Liberation Army (SLA) Index.

Description and Use:
Contains cards with mixed subject entries such as individuals, weapons, vehicles, etc., thought to have a connection with the SLA. It was used to tabulate and retrieve data relating to SLA activities.

Maintained at:
Headquarters: Yes
Field Office: Yes (2)

Recommendatons and Justification:
Given the widespread media attention and extensive FBI investigative activity involving the SLA, the Headquarters index is permanent, the Field Office indexes are disposable.

Disposition Instructions:
Headquarters: Permanent
Field Office: Disposable

Title of Index:
Telephone Number Index--Gamblers.

Description and Use:
Contains information on persons identified usually as a result of a subpoena for the names of subscribers to particular telephone numbers or toll records for a particular phone number of area gamblers and bookmakers. The index cards are filed by the last three digits of the telephone number. The index is used in gambling investigations.

Maintained at:
Headquarters: No
Field Office: Yes (2)

Recommendations and Justification:
Investigative aid used by two Field Offices in gambling cases. As this lacks research potential,it is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Telephone Subscriber and Toll Record Check.

Description and Use:
Contains cards with information on persons identified as the result of a formal request or subpoena to the phone company for the identity of subscribers to particular telephone numbers. The index cards are filed by telephone number and would also include identity of the subscriber, billing parties identity, subscribers address, date of request from the telephone company, and file number.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendations and Justification:
Used in only one Field Office as an administrative aid. It has no research potential and is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Thieves, Couriers, and Fences Photo Index.

Description and Use:
Consists of photos and background information on individuals who are or are suspected of being thieves, couriers, or fences based on their past activity in the area of interstate transportation of stolen property. It is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (4)

Recommendations and Justification:
Used as an investigative aid in four Field Offices. Because it covers such a narrow range of subjects, it has little potential research value and is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Toll Record Request Index

Description and Use:
Contains cards on individuals and organizations on whom toll records have been obtained in national security related cases and with respect to which FBIHQ had to prepare a request letter. It is used primarily to facilitate the handling of repeat requests on individuals listed.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Used as an administrative aid in Headquarters. If it has little potential research value, if is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Top Burglar Album.

Description and Use:
Consists of photos and background data of known and suspect top burglars involved in the area of interstate transportation of stolen property. It is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (4)

Recommendations and Justification:
Used in only four Field Offices as an investigative aid. It is of limited research value and is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Top Echelon Criminal Informant Program (TECIP) Index.

Description and Use:
Consists of cards containing identity and brief background information on individuals who are either furnishing high level information in the organized crime area or are under development to furnish such information. The index is used primarily to evaluate, corroborate, and coordinate informant information and to develop prosecutive data against racket figures under Federal, State, and local statutes.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
A significant administrative and investigative aid maintained in Headquarters. It is permanently valuable.

Disposition and Instructions:
Headquarters: Permanent
Field Office: N/A

Title of Index:
Top Ten Program File.

Description and Use:
Consists of fliers, filed numerically in a control file, on fugitives considered by the FBI to be one of the ten most wanted. Including a fugitive on the top ten usually assures a greater national news coverage as well as nationwide circulation of the flier.

Maintained at:
Headquarters: Yes
Field Office: Yes (44)

Recommendations and Justification:
Wanted posters for the FBI's ten most wanted fugitives dating back to 1951. The Headquarters file should be retained permanently as a record set; because they duplicated the Headquarters file, those in the field are disposable.

Disposition Instructions:
Headquarters: Permanent
Field Office: Disposable

Title of Index:
Top Thief Program Index.

Description and Use:
Consists of cards of individuals who are professional burglars, robbers, or fences dealing in items likely to be passed in interstate commerce or who travel interstate to commit the crime. Usually photographs and background information would also be obtained on the index card. The index is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (27)

Recommendations and Justification:
Used as an investigative aid in Field Offices. Because of the narrow range of its coverage, it is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Truck Hijack Photo Album.

Description and Use:
Contains photos and descsriptive data of individuals who are suspected truck hijackers. It is used as an investigative aid and for displaying photos to witnesses and/or victims to identify unknown subjects in hijacking cases.

Maintained at:
Headquarters: No
Field Office: Yes (4)

Recommendations and Justification:
Used as an investigative aid in four Field Offices. Because of the narrow range of its coverage, it is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Truck Thief Suspect Photo Album.

Description and Use:
Consists of photos and background data on individuals previously arrested or are currently suspects regarding vehicle theft. The index is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendation and Justification:
Used as an investigative aid in one Field Office. Because of the narrow range of its coverage, it is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Traveling Criminal Photo Album.

Description and Use:
Consists of photos with identifying data of individuals convicted of various criminal offenses and may be suspects in other offenses. It is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendations and Justification:
Used as an investigative aid in one Field Office. Because of the narrow range of its coverage, it is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Veterans Administration (VA)/Federal Housing Administrative Matters (FHA) Index.

Description and Use:
Consists of cards of individuals who have been subject of an investigation relative to VA and FHA matters. It is used as an investigative aid.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendations and Justification:
Used in one Field Office as an aid in VA/FHA investigations. Given its narrow scope, this index is disposable.

Disposition instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
Wanted Fliers File.

Description and Use:
Consists of fliers, filed numerically in a control file, on badly wanted fugitives, whose apprehension may be facilitated by a flier. The flier contains the names, photograph, aliases, previous convictions, and a caution notice.

Maintained at:
Headquarters: Yes
Field Office: Yes (46)

Recommendations and Justification:
Wanted posters maintained at Headquarters and in the Field. This serial set of fliers at Headquarters dates from 1934. The Headquarters file is permanent, the field office files are duplicates and are disposable.

Disposition Instructions:
Headquarters: Permanent
Field Office: Disposable

Title of Index:
Wheeldex.

Description and Use:
Contains the nicknames and case file numbers of organized crime members. It is used in organized crime investigations.

Maintained at:
Headquarters: No
Field Office: Yes (1)

Recommendations and Justification:
Because the Headquarters index relating to organized crime figures is permanent, this Field Office index is disposable.

Disposition Instructions:
Headquarters: N/A
Field Office: Disposable

Title of Index:
White House Special Index.

Description and Use:
Contains cards on all potential White House appointees, staff members, guests, and visitors that have been referred to the FBI by the White House security office for a records check to identify any adverse or derogatory information. This index is used to expedite such checks in view of the tight time frame usually required.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
This index is currently sealed by a court order. Upon completion of the court case which led to its being sealed (Howard S. Abramson v. FBI et al) it will be destroyed.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Witness Protection Program Index.

Description and Use:
Contains cards on individuals who have been furnished a new identity by the U.S. Justice Department because of their testimony in organized crime trials. It is used primarily to notify the U.S. Marshal's Service when information related to the safety of a protected witness comes to the FBI's attention.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Relates only to those under the Witness Protection Program about whom the FBI furnishes information to the U.S. Marshal's Service. It is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
National Security Electronic Surveillance Statistics File.

Description and Use:
Consists of a daily statistical summary of Elsurs in place.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Because this file gives only statistics on electronic surveillance and because such statistics are available elsewhere, this file is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
National Security Electronic Surveillance File.

Description and Use:
A chronological list of individuals and/or organizations on whom a national security electronic surveillance has been instituted since about 1940.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Given the importance of this investigative technique, this file is permanent.

Disposition and Instructions:
Headquarters: Permanent
Field Office: N/A

Title of Index:
Mail Cover Statistics Index.

Description and Use:
A statistical summary of current mail covers in criminal, fugitive, and national security matters.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Because this index furnishes only statistical information on mail covers and because fuller information regarding such covers is available elsewhere, this index is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Foreign Police Cooperation Index.

Description and Use:
Consists of fugitives whom foreign police agencies have requested FBI assistance in apprehending.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Given the limited coverage of this index which is used at Headquarters as a current administrative aid, the index is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Gambling Case Listing.

Description and Use:
Consists of a listing of persons under investigation for gambling on which the FBI Laboratory has provided assistance since 1969.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
Used as an administrative aid in the FBI laboratory. Given the lack of research value, this listing is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Evidence Control Index.

Description and Use:
Consists of cards maintained by the FBI laboratory containing names of suspects, subjects, victims, etc., in matters under examination within the last three years. The index is used to facilitate managing evidence examinations.

Maintained at:
Headquarters: Yes
Field Office: No

Recommendations and Justification:
An administrative aid used by the FBI laboratory. It has no potential research value and is disposable.

Disposition Instructions:
Headquarters: Disposable
Field Office: N/A

Title of Index:
Weatherman Photo Album.

Description and Use:
Consists of photos and descriptions of individuals associated with Weatherman activities for use as a reference aid in Weatherman investigations.

Maintained at:
Headquarters: Yes
Field Office: Yes (?)

Recommendations and Justification:
Given the extensive FBI investigative effort in pursuing individuals associated with the Weathermen. The Headquarters album is permanently valuable; Field Office albums, if any are extant, are disposable.

Disposition Instructions:
Headquarters: Permanent
Field Office: Disposable (if any)

Abstracts

1. Description of Records:

Abstracts are 3 x 5 forms prepared manually for every important piece of mail before October 1979. The abstract provided a brief synopsis of the document and identified it (a) by type, (b) date, (c) source and/or destination (d) preparer, in case of outgoing items and incoming reports, (e) subject, and (f) file number. The original copy of the abstract was filed by source (i.e., originator of the document—Special Agent, SAC, Federal agency or individual) or destination, and thereunder chronologically, to facilitate retrieval of records. A duplicate was filed in case and serial number order to facilitate processing of mail and to provide accountability for file contents. A third set was prepared for foreign material relating to the Bureau's Special Intelligence Program (SIS) during the period 1940-48.

The FBI initiated its abstracting system in the 1920s. Abstracts exist for the period since January 1, 1936, and comprise 1939 cubic feet of textual records. Earlier abstracts were destroyed for reasons of economy and space in the mid-1950s. Abstracts were maintained only in Headquarters. The field never prepared abstracts. In 1976 the FBI adopted the Automated Incoming Mail Serialization (AIMS) System. AIMS, an automated data processing system, captures the date, subject, type of communication, status of case, classification, and source and destination of document. It furnished virtually all of the data provided by the abstracts with the exception of the brief narrative summary. By October 1979 AIMS had demonstrated that it was a satisfactory replacement for the abstracting system, and the FBI halted the practice except for personnel and applicant matters, the records for which are maintained separately from the Central Records System.

2. Recommendations and Justification

Abstracts contain no unique information, but they do have value as a reference tool. For example, a researcher unable to obtain a case file number through the General Index may be able to locate the case file number by checking the abstracts of correspondence from the Field Office handling the case. Similarly, a researcher may be able to locate a needed document in a massive file more quickly through a check of the abstracts than through a document by document review of the file. Therefore, the source-chronological and SIS sets of abstracts, as well as the case-serial set for multi-sectional files designated for permanent retention, should be retained permanently. The remaining abstracts do not have value as a reference aid and should be destroyed.

3. Disposition

a. Abstracts to the Central Records System (exclusive of Bureau personnel and applicant matters)
   (1) Source-chronological set - PERMANENT
   (2) Case-serial set
      (a) Multi-section cases identified for permanent retention - PERMANENT
      (b) All other cases - DESTROY
   (3) SIS set - PERMANENT

b. Abstracts to Bureau personnel and applicant matters (Class 67) - DESTROY

Budget Records Maintained Outside of FBI Central Records System

Budget related records maintained outside of the FBI's central records system span the period 1939 to the present and comprise approximately 300 feet of material. In the files accumulated between 1939 and 1979, records relating to budget formulation are intermixed with documents pertaining to budget execution, reflecting the fact that until 1979 both budget preparation and execution were performed by a single organizational unit of the Bureau. In 1979, however, a Budget Formulation and Presentation Unit was established to handle budget formulation while budget execution was left to an Accounting and Budget Analysis Unit; each unit maintains files documenting the execution of its mission and, therefore, records relating to budget formulation and budget execution are no longer intermixed. Files accumulated between 1939 and 1972 are in inactive storage in a basement storeroom adjacent to the Director's garage. These records are arranged chronologically by year and thereunder by subject. More recent records are maintained in offices of Budget and Accounting Section and its component units. Current files are maintained in three-year blocks, which are arranged alphabetically by subject and thereunder chronologically by year.

Records relating to budget preparation document the initial formulation of the FBI's budget and the revisions it undergoes in the course of its review by the Department of Justice, the Office of Management and Budget and finally, the Congress. Included are such materials as memorandums prepared by component units of the FBI outlining their programs and needs for the coming budget year; memorandums that document high level decisions made within the Bureau concerning budget questions; and records accumulated in connection with OMB and Congressional hearings, such as copies of bills and committee prints, internal FBI memos concerning the status of the FBI appropriation bill, and, most important, copies of printed and near print submissions of a formal nature containing FBI budget requests and related narrative explanations and justifications. Since 1979, the Budget Formulation and Presentation Unit has used the files plan enclosed as Attachment 1—most of its records are filed under "Congressional Affairs and Estimates," "Office of Management and Budget," and "Spring Planning Estimates."

Records relating to budget execution are a mass of fiscal accounting type documents, such as ledgers, vouchers, apportionment and reapportionment schedules, reports on the status of obligations, reconciliations, and similar materials, which document the allocation and disbursement of appropriated funds.

Staff of the Budget Formulation and Presentation Unit and the Accounting and Budget Analysis Unit insist that all of the 300 feet of records they control are copies and that the original documents can be found in the Central Records System. Examination of records maintained in current files areas tends to confirm this contention, as most of these documents are photocopies. However, the older materials stored in the basement of the Hoover Building contained a high proportion of original material, including documents and exhibits prepared for Director Hoover in connection with his appearances before Congressional committees and memorandums from component units of the FBI prepared at the start of the budget cycle. It is difficult to state with certainty whether or not copies of any or all of these older materials can be found in the Central Records System. However, an examination of samples of those 66 and 62 case files that most closely relate to budget matters (62-40772, House Appropriations Committee; 62-18217, Bureau of the Budget/OMB; 66-18000, FBI Budget and Accounting Procedures, and two 66 files on Appropriations), suggests that the older budget records in inactive storage do contain unique documents.

Regardless of the question of duplication in the central records system, there is no

reason why records relating to budget execution need to be retained permanently. These records are next to impossible to use for secondary research purposes, and, more important, sufficient data on how agences spend funds is available in budget formulation records. For these reasons, all agency budget execution records are scheduled for disposal in General Records Schedules 5 and 6. FBI fiscal accounting records do not differ significantly from the records of other agencies and, therefore, the relevant items of the GRS should govern their disposition. The disposition instructions contained in the GRS should apply to budget execution records maintained outside of the FBI's Central Records System and also to those segments of classification 66 that pertain solely to budget execution (i.e., 66-18147, Reconciliation of General Ledgers).

On the other hand, budget formulation records maintained outside of the Central Records System should be retained permanently. First, as noted above, there is not complete duplication between these records, particularly those predating 1973, and the appropriate 62 and 66 case files of the Central Records System. Second, budget preparation records outside of the Central Records System are more conveniently arranged for reference purposes so that many, if not most, researchers interested in FBI budget matters should be able to locate the information they need in these files and will not have to plow through the fragmented 62 and 66 case files that pertain to budget formulation. This would be particularly true of researchers interested in how much money the FBI requested for specific programs in a given year or time period and the justifications they used—researchers interested in the dynamics of the budget process, such as the Bureau's relationship with OMB and congressional committees, will find interesting material in these records, but they definitely will need to consult the relevant 62 and 66 files.

As noted at the outset, in records accumulated before 1979, budget formulation records are intermixed with fiscal accounting-type documents. The FBI should cull out these disposable materials before permanent budget preparation records are transferred to the National Archives. This would eliminate material of no value and would significantly decrease the volume—about half of the pre-1979 files consist of disposable records relating to budget execution.

Draft Disposition Instructions

Budget formulation files: PERMANENT. Cut off files every 3 years. Offer records to NARS in 3-year blocks 30 years after cut off.

Budget execution files: TEMPORARY. Dispose of in accordance with relevant items of General Records Schedules 5 and 6.

Note 1: Records predating 1979 contain a mixture of permanent and temporary records. FBI will apply the above disposition standards before offering permanent records to NARS.

Note 2: Records predating 1973 are arranged chronologically by fiscal year. Permanent budget formulation records predating 1973 should be offered to NARS when 30 years old.

ATTACHMENT 1

Budget Accounting System and Architecture
Bureauwide Information Program
Congressional Affairs and Estimates

Appropriation Bills
Authorization Bills
Call and Instructions

	Citations and Statutory Authority
	External Submissions
	House Appropriations Matters
	House Authorization Matters
	House Judiciary Matters
	House Perm. Intell. Matters
	Misc. Info. (Calendar Year 1981)
	Senate Appropriations Matters
	Senate Authorization Matters
	Senate Judicary Matters
	Senate Select Intell. Matters
Congressional Record Reports	
DOJ Matters - Misc.	
Direct Agent Work-year (DAWY) Reports	
EEO Matters	
FBI Financial Plan/Status	
FBI Financial Profile	
Federal Productivity Program	
Field Office Support Personnel Allocation	
Internal Budget Process	Analyses and Recommendations
	Decisions and Approvals
	Instructions
	Submissions
Justice Management Division	Analyses and Hearings
	Submissions
Management-By-Objectives (MBO) Program	
Miscellaneous Matter - General	
National Foreign Intelligence Program (NFIP)	
Office of Management and Budget	Allowance (Marks) and Appeals
	Call and Instructions
	Exhibits
	External Submissions
	Galleys
	Hearings
	Misc. Correspondence
	M.O.D.E. Matters
	Press Conference
Program Evaluation and Studies	
Reorganization	
Reprogrammings	
Resource Management and Allocation	
SAC Letters and Memos	
Spring Planning Estimates	Call and Instructions
	Analysis and Recommendation
	Hearing and Appeals
	External Submissions
	Misc. Correspondence

Supplemental Appropriations
Undercover operations Matter
Weekly Attorney General Report

Automation Summary

Automated files in the Federal Bureau of Investigation appear to fall into three categories:

1. Files facilitating "housekeeping activities."
These include files relating to personnel and financing (Division III) the Bureau Mailing List (Office of Public Affairs); the Academy Services File (Division II); and the Freedom of Information Privacy Act File (Division IV). These files may be destroyed when agency use ceases.

2. Files facilitating "investigative activities."
These files include:

a. some automated files in Division IV, the Records Management Division (FACS, AIMS, HQGI)

B. the automated files in Division I, the Identification Division (AIDS, Minutiae Master File)

c. the automated files in Division VII, the Laboratory Division (CLIS, SMIRS)

d. the automated files in Division VIII, the Technical Services Division (NCIC, FOIMS, NYGI)

e. some automated files in Divisions V and VI, the Intelligence and Criminal Divisions) (OCIS, TIS, ISIS, IIS, CTNF)

With the exception of ISIS files which are special purpose finding aids and some component files of the National Crime Information Center (NCIC) which are disposable, all other files in this category have long term value. Their disposal cannot be authorized unless ordered by a court. The files of NCIC present special problems because they are part of an on-line system controlled by the participating law enforcement agencies. The component of NCIC which appears to have the greatest research potential is the Computerized Criminal History File. The Bureau's policy has been to delete records from the file 80 years after the subject's date of birth. Information deleted from the on-line system—except in cases when it has been ordered by a court—should be retained on tape for eventual transfer to NARS. The NCIC files identifying wanted or missing persons also appear to have research potential. They are far more vulnerable to on-line deletion than the Computerized Criminal History File. Judge Greene has authorized (see his order of February 20, 1980) the deletion from the on-line system of records of located subjects. Arrangement should be made for the periodic transfer to NARS of history tapes for the missing persons and wanted persons file.

3. Files utilized in the compilation of criminal statistics.
This category of files includes:

a. the automated files of the Uniform Crime Reporting System now in the Office of Public Affairs;

b. the statistics files of the Criminal Investigative Division (Division VI); and

c. The Police Training Schools File in the Training Division (Division II).

The automated files of the Uniform Crime Reporting System are permanent. Other statistical files containing information of long term value include the Federal Statistics File, the Informant Information File, the Organized Crime Statistics File, and the Bank Robbery Statistics File. The remaining

statistical files may be destroyed.

* * *

Division I: Identification Division

System: Automated Identification Division System (AIDS)

a. AIDS—II Computerized Criminal Name and Record File (1973-date)

File contains arrest and personal description data on currently-received criminal fingerprint cards relating to first-offender arrests and subsequent criminal justice activity on previously automated records. Disposal not Authorized.

b. Minutiae Master File (1979-date)

File contains fingerprint characteristic data of all persons represented in the criminal fingerprint file who were born on or after January 1, 1929. Disposal not Authorized.

N.B. on February 20, 1980, Judge Greene modified his original Court order (issued January 10, 1980) to exclude from his preliminary injunction prohibiting destruction of records those fingerprint records subject to court ordered deletion.

Division II: Training Division

ACE: Academy Services File (Pre-1970 to date)

File contains name and location of each FBI Academy graduate. Destroy when agency use ceases.

PTS: Police Training Schools File (1976 to date)

File contains information about police training offered by law enforcement agencies other than the FBI. Destroy when agency use ceases.

Division III: Administrative Services Division

1) Personnel Information Network System (PINS)

a. PINS Master File (1973-date)

File contains basic descriptive information about FBI employees and records of personnel actions affecting these employees. There is one record for each active employee. Destroy when agency use ceases.

b. Personnel Automated Network System (PANS) Master File

File contains one record for every active personnel file folder. Destroy when agency use ceases.

2) Other Personnel Files

a. Personnel Statistics System (STAT) (Pre 1960 to date)
b. PILOT: Aviation Skills File (1975 to date)
c. AAS: Agent Answer Sheet File (1977 to date)
d. CDP: Career Development Program (1980 to date)
e. QTF: Quantico Training Facilities File (1976 to date)

Destroy when agency use ceases.

3) Financial Management System

a. PAMPS: Performance Appraisal Merit Pay File

b. PAY: Payroll File (1950 to date)
c. ERTS: Electronic Reservations and Ticketing System Purchase Order File
d. VOU; Accounting Voucher Files (13 files in all)
e. AUTO: Auto Inventory File (1965 to date)
f. FPDS: Federal Procurement Data File
g. IND: Program Index File (1964 to date)
h. CAS: Cost Accounting System File (1976 to date)
File includes Time Utilization Record Keeping (Turk) data.
i. PAS: Property Accounting System File
Destroy when agency use ceases.

Division IV: Records Management Division

1. FOIPA: Freedom of Information Privacy Act File (1979 - date)
Destroy when agency use ceases.

2. Automated Records Management System (ARMS)
a. FACS: File Automated Control System (1977 - date)
b. AIMS: Automation of Incoming Mail Serialization (1977 - date)
c. HQGI: Headquarters General Index (1980 - date)
Disposal not Authorized.

Division V:

1. Intelligence Information System (IIS)
Disposal not Authorized.

2. CTNF: Computerized Telephone Number File, Intelligence
Destroy when agency use ceases.

Division VI:

1. Information
a. Organized Crime Information System (OCIS) (1980 to date)
The system includes 40 separate files containing information about organized crime figures. The file on personal data includes 24,000 records (one record/per organized crime figure). Disposal not Authorized.

b. Terrorist Information System (TIS)
Disposal not Authorized.

c. Investigative Support Information System (ISIS)
The system includes files developed as finding aids to records created in the course of invesigating major Bureau cases.* The files generally consist of one record per "see reference" thought to be important to the solution of the case. Destroy when agency use ceases.

*These cases are not limited to numbered Major Cases and include (as examples) an extortion attempt involving 200 U.S. cities, a land fraud case originating in Phoenix, the Hearst kidnapping and the bombing at New York's La Guardia airport.

d. CTNF: Computerized Telephone Number File, Organized Crime and Gambling

Destroy when agency use ceases.

2. Statistics

a. FED: Federal Statistics File (pre-1970 to date)

File contains information on the disposition of Bureau cases (arrests, convictions, sentences, court settlements). Permanent.

b. INF: Informant Information (April 1965 to date)

File contains data which relates investigative accomplishments to the utilization of informants. Permanent.

c. MAR: Monthly Administrative Reports (pre-1970 to date)

File contains information on number of cases received, pending, and closed. Destroy when agency use ceases.

d. NAR: Narcotics Matters (pre-1970 to date)

File contains information on arrests and recoveries relating to narcotics offenses at the Federal, State and local level. Destroy when agency use ceases.

e. ORC: Organized Crime Statistics (pre-1970 to date)

File contains indictment, prosecution, and conviction information relating to organized crime figures who are subjects of Bureau cases. Permanent.

f. PRO: Procheck System

File contains brief descriptive data about stolen money orders and travelers checks. Destroy when agency use ceases.

g. BFR: Bank Fraud Statistics

File contains information about duration of investigation and amount of loss in bank fraud cases. Destroy when agency use ceases.

h. BRU: Bank Robbery Statistics

Master File contains information relating to bank robberies occurring in the areas covered by FBI Field Offices. Information includes types of security utilized, race and sex of subject, value of cash taken and recovered, related injuries, time of violation, population of location of violation, involvement of narcotics, and interstate aspects. Permanent.

i. Gambling Information (pre-1970)

File contains information on numbers of raids, arrests, convictions, and money or paraphernalia seized relating to gambling violations. Destroy when agency use ceases.

Division VII: Laboratory

1. CLIS: Criminal Laboratory Information System

File consists of information relating to the make, model, and ballistics characteristics of weapons. Destroy when agency use ceases.

2. SMIRS: Scientific Management Information Retrieval System (1979 to date)

File contains descriptive information about evidence submitted to the Bureau's laboratory for analysis. Disposal not Authorized.

3. Art File

File contains descriptive information on stolen art objects. Destroy when agency use ceases.

4. Bank Robbery Note File

Destroy when agency use ceases.

Division VIII: Technical Services Division

National Crime Information Center (NCIC)*

a. Stolen Vehicle File

File contains identifying information on all stolen vehicles reported to NCIC by an originating local law enforcement agency (ORI). Destroy when agency use ceases.

b. Stolen License Plate File

File contains identifying information on all stolen license plates reported to NCIC by an ORI. Destroy when agency use ceases.

c. Stolen/Missing Gun File

Destroy when agency use ceases

d. Stolen Article File

Destroy when agency use ceases

e. Wanted Person File

File contains descriptive information (including date of birth, height, weight, race, sex, alias, vehicle) about persons for whom there is an outstanding Federal warrant or a felony or serious misdemeanor warrant, including probation and parole violators reported to NCIC by ORI. Disposal not Authorized. Transfer all except court ordered deletions to a history file.

f. Missing Person File

File contains descriptive information (see Wanted Person File) about missing persons thought to be in danger and missing juveniles reported to NCIC by ORI. Disposal not Authorized. Transfer deletions to a history file.

g. Securities File

Destroy when agency use ceases.

h. Boat File

Destroy when agency use ceases.

i. Computerized Criminal History File

Each record in the Computerized Criminal History File represents a complete criminal history for offenders arrested by Federal law enforcement agencies since January 1, 1970. The file also includes offender records entered by 8 states participating in the program. The record consists of an Identificatoin Segment, and an Arrest Segment for each arrest cycle associated with a given offender. Permanent. Transfer all except court ordered deletions to a history file.

2. Field Office Information Management System (FOIMS)

a. NYGI: New York General Index

b. Serial Summary File (Richmond only)

c. Exhibits File (Richmond only)

d. Index File (Richmond)

e. Vehicle File (Richmond)

Disposal not Authorized.

Office of Congressional and Public Affairs

1. Bureau Mailing List

Destroy when agency use ceases.

* N.B. Judge Greene's modified order dated 2/20/1980 authorizes destruction within the following files: Wanted Persons, Stolen Articles and Computerized Criminal History.

2. Uniform Crime Reporting System (UCR)

a. Return A File (1960-date)

Recorded information includes numbers of murders and cases of man-slaughter, rapes, robberies, assaults, burglaries, larcenies, and motor-vehicle thefts reported by 1500 state and local law enforcement agencies. Permanent.

b. Supplement to Return A File (1960-date)

File contains details (time of day, value of stolen property) of offenses recorded on Return A File. Permanent.

c. Age, Sex, Race and Ethnic Origin File (1960-date)

Permanent.

d. Monthly Police Employee File (1960-date)

File tallies assaults on non-Federal law enforcement officers by circumstance (response to disturbance call, etc.), by type of weapon involved by assignment, and by time of day. Permanent.

e. Supplementary Homicide Report File (?-date)

File includes one 80-character record for every homicide victim reported by a state or local law enforcement agency. Recorded information includes: age, race, ethnic origin and sex of victim and perpetrator, weapon involved, relationship between victim and perpetrator, and circumstances of homicide. Permanent.

f. Arson File (1980-date)

File includes one record for each incidence of arson reported by a state or local law enforcement agency. Recorded information includes: type of structure involved, dollar amount of damage, and age of perpetrator. Permanent.

All other automated files: Disposal not Authorized.

Non-Textual Records

Non-textual records are maintained by the Federal Bureau of Investigation in five different contexts: 1) as exhibits connected with case files in the Central Records System; 2) in the Laboratory Division as reference collections; 3) in the Technical Services Division as backup material; 4) in the Training Division as educational material, and 5) in the Office of Congressional and Public Affairs as reference materials. Some non-textual records in all contexts remain from the Bureau's early years. In developing a retention rationale for these records, it is important to keep in mind the following considerations.

1. Non-Textual Records in the Central Records System

a. Exhibits connected with investigative-type case files can range from still pictures to audio and video tapes. Most photographs are maintained with the case file. Tapes, on the other hand, are most likely maintained as "bulkies." In either case the value of the non-textual record seems inextricably linked to the value of the case file.

b. Exhibits connected with administrative-type case files in the Central Records Systems may also include non-textual materials. A case in point is file number 66-3020, "Official Charts and Photographs," which includes as bulkie exhibits large envelopes full of photographs of Bureau personnel at work and play. Collections like these would seem to have value independent of the value of the case files they supplement. There is, unfortunately, no easy way to identify those administrative case files which may be supplemented by valuable collections of photographs.

2. Non-Textual Records in the Laboratory

As an aid to the examinations it conducts the Bureau's Laboratory maintains a whole series of "reference collections." These range from three dimensional objects such as guns, ammunition, and typewriters to photographs of fraudulent checks and bank robbery notes submitted for Laboratory analysis. The Bureau has long-term operational interest in maintaining these materials. Should Bureau interest cease, it seems likely that an evidential sample of photographs should be retained along with the Classification 80 case file which documents the development and utilization of the reference collection.

3. Non-Textual Records in the Technical Services Division

The Signal Analysis Unit within the Technical Services Division receives for processing a variety of audio tapes both from Bureau Field Offices and local law enforcement agencies. The original tapes are "enhanced" by the Unit; two copies are made; one copy and the original tape are returned to the source; one enhanced copy is retained by the Signal Analysis Unit as "insurance" against loss. The enhancement process isolates and amplifies sounds of interest. About 65% of the tapes currently retained by the Signal Analysis Unit were submitted in connection with FBI cases; the remainder were submitted by local law enforcement agencies. The record status of this collection is dubious. Presumably, the original and enhanced copy returned to the Field Offices should be considered the record copies of FBI-obtained tapes. It is doubtful that tapes submitted by local law enforcement agencies can be considered FBI records. All "back up" tapes in the Signal Analysis Unit may be destroyed when no longer needed.

4. Non-Textual Records in the Training Division

a. In a report prepared in 1978, the Instructional Technology Services Academic Section of the Bureau's Training Division described 147 cubic feet of audiovisual materials maintained by the FBI Academy in Quantico, Virginia. The materials include slides, films, videotapes and audio cassettes developed by or for the Bureau for use in its "in service" training, local law enforcement training, and the crime resistence program. In the Bureau's own judgment, "the vast preponderance" of its audiovisual materials "are probably of no historical/archival value." Examples of exceptions to this assessment identified by the Bureau are 1) a 25-minute video tape of the Administration of the Oath of Office to William H. Webster as Director of the FBI and 2) a 60-minute videotapes of the Dedication Ceremonies of the J. Edgar Hoover Building.

That the Bureau has, for a number of years, viewed its films as disposable non-record materials is evident from the 1952 Manual of Operations which lists films held by Field Offices as one of the types of materials which may be destroyed one year after creation. All audio-visual materials in the Training Division should be offered to NARS when Bureau use ceases.

b. The Bureau Library at Quantico retains a small amount of non-textual material which has been preserved as "memorabilia" of the Hoover era. Most notable among this is an album of photos of Nazi saboteurs,which should be offered to NARS. Disposable items include plaques and citations awarded to Hoover as FBI Director.

5. Non-Textual Records in the Office of Congressional and Public Affairs

The Media Services Unit of the Office of Congressional and Public Affairs retains photographs and audio and video tapes for use in disseminating information about the FBI. The unit maintains two collections of photographs: 1) hundreds of "historical" or "this-is-your-FBI-type" photos and 2) hundreds of official or "meet-the-Director-type" photos. Retained audio tapes number around 200 and consist of recordings of interest to or about the FBI. The tapes include recordings of speeches delivered by Hoover and his successors as well as recordings of the 5-minute radio program "FBI/Washington." The Unit retains 105 video tapes dating from the early seventies. Subjects include the day's activity of a typical agent, appearance of the Director, and the annual memorial service sponsored by the Bureau. All audio-visual materials in the Office of Congressional and Public Affairs should be offered to NARS when agency use ceases.

(The Media Services Unit is also the custodian of over 100 boxes of Hoover memorabilia "bequeathed to the Bureau by the Tolson estate." The material is awaiting processing. Its record status is uncertain.)

Appendix B

Instructions for Filling Out

the

Data Collection Sheet

1 and 2. Appraiser and date. Enter the initials of your first and last name in the blanks. Enter the date (month and day) on which you examined the file (e.g., March 1 = 0301).

3. Classification - Case Number - Alpha. Enter the classification and case number for the file originally identified in the sample for examination: e.g., 007-015243 (an entry must be made in each of the blank spaces provided). "Alpha" refers to an alpha designator used at field offices since 1977 to identify cases receiving priority attention. Enter the designator if the file has an alpha designator on its cover. Otherwise, leave the space blank.

4. File disposition. This refers to the disposition of the file originally identified in the sample for examination. If the file is available for examination under this number, check the box designated "extant." If the file has been destroyed, reclassified, or renumbered within a class check the appropriate box and provide a substitute case number under the next entry of the worksheet. In some instances when a file may be combined into another case file, mark "other" and follow the procedures in 5 for a substitute file number.

5. Substitute case number. If the original file identified in the sample for examination is not available or appropriate for inspection, the retriever should move up to the next file if the file number is odd and down if the case file number is even and locate the next case file that is both available and appropriate for inspection. Enter the case number and alpha designator for this file in the spaces provided.

6. File size. Check the box appropriate for the size of the file. If the file involves more than 10 sections specify the number comprising the file.

Do not attempt to estimate the file size of a microfilmed file.

7. File status. Check one box to indicate whether the file is maintained in the central file, the secure area (i.e., the special file room), or in microform. Check a box to indicate pending or closed status of the case. The appraiser usually can determine the status of the case by reviewing the latest report from the office of origin. A report concluding with a "(P)" indicates that the case is pending, while one concluding with a "(C)" indicates that the case is closed. If file status is unclear make no mark and the default is unknown.

8. File type. File type can be headquarters, field office, or legal (legal attache). Use an alpha code to designate either the Field Office or Legal maintaining the file examined. (Note that a 3 character code is permitted to accomodate the Legats and the Washington Field Office. Right justify the code.) Each Field Office file or Legat File should be identified as "office of origin," "auxiliary office," or "resident agency" (does not apply to Legat) file. For files originating in Headquarters, check "headquarters" and "office of origin."

9. Origin (do not complete this section for headquarters files originating at headquarters and examined there or for "office of origin" files examined in the field). Identify the office of origin for case in terms of the alpha code and enter the classification and case number assigned to the matter by the office of origin. Note that the office of origin may be a legal attache.

10. Auxiliary information. On the basis of documentation in the file, specify the number of auxiliary offices involved in the conduct of the case. Identify

any file classifications referenced in the file not elsewhere entered on the form.

11. Serial data. Enter the dates of preparation of the first and last serials in the file in numerical fashion (e.g., March 1, 1981 = 03 01 81), and the number of the highest numbered serial in the file. Note the order has been changed.

12. Documents present in file. The rationale for this section is to distinguish between Headquarters and Field Office case files. Consequently, a narrow definition is employed in each category. Furthermore, these categories presume that certain activities are standard operating procedure (e.g., interviewing witnesses or interrogating subjects and writing a report). Mark "Physical Evidence" only if the file contains an original piece of physical evidence (an original ransom note, a lock of hair, a bad check) or if the file contains material marked "evidence" by the FBI. Mark "Affidavits/Depositions" only if in fact they are in the file. A copy with a notation the original has been signed is acceptable. Extracts and short quotes are excluded from this category. In marking "Notes of Interviews" a very narrow definition should be followed. Specifically this means first draft working notes or unedited transcripts of interrogations. Note that "Informant Information" has been moved to 13 "Information Origins" and the last category now reads "Security Classified Document." Mark "Items Missing" only if serials (or portions thereof) are not accounted for. Do not use one of the categories in this section to note the presence of a summary report. It is assumed that inclusion of some sort of summary report is routine practice.

13. Information origins. The intent of this section is to capture the sources of information acquired or employed during the course of an investigation.

"Unsolicited correspondence" can mean telephonic communications. Note that we have added to "Information origins" the following new items -- "electronic surveillance," "mail intercepts," and "Other Sensitive Information." "Other Sensitive Information" is defined as non-routine information derived from a human source employing non-routine procedures which require the protection of confidentiality. This includes surreptitious entry to remove, copy, or photograph material or to place a wire tap. "Electronic surveillance" includes wire taps, body recorders, tracers, and beepers. "Mail intercept" refers to a Federal agency's opening and copying of first class mail. The FBI could be the recipient of such information from another agency. Disregard the earlier instruction about "without benefit of a warrant."

14. Sensitive Information Present. has been changed to "Sensitive Information Masked" and refers only to material we are not now permitted to see. Note there are only four categories and the last one is simply "Title III."

15. Documents filed separately. Check the appropriate boxes for material maintained separately from the case file. "Enclosures behind file" refers to enclosures maintained in separate, specialized sections of the file. "Bulkies" refers to oversized enclosures maintained apart from the file. "'June' mail" refers to documents of such sensitivity as to warrant their maintenance in a secure area apart from the file. The case file itself will contain references indicating the presence of material relating to the case but filed separately. "June Mail" by definition means "current" material since mail returned from the Special File Room has no special marking to indicate that at one time it was "June Mail."

16. File processing history. Check the appropriate boxes relating to the processing of the file or documents in the file. References on the file cover will indicate whether the file was subject to Freedom of Information Act (FOAI) processing or Privacy Act expungement. References on individual documents will indicate whether items in the file were copied for use by a congressional committee or disseminated to the Justice Department to another agency (Federal, State, or local), to the White House, or to a foreign government. A field office "historical" file is a file maintained beyond its established retention period because of its continuing value for "administrative" purposes. Note that another item has been added that covers dissemination to the U. S. Attorney. In general the rationale for 16 is to identify patterns of dissemination that may be associated with certain classifications. The obvious exception to this is a Field Office "Historical" File."

17. Case Processing History. The first three items have been dropped since the same information is collected under #25. A case "affected by court proceedings" is one in which a court has issued an order (i.e., a "stay") halting further investigation. The file will contain a copy of the order. A case identified as a "Bureau special" or "major case" is one designated as such by the FBI in its documentation on the conduct of the investigation. "Results not known" means the investigation stops abruptly for no apparent reason.

18. Briefly state the specific allegation relating to security.

19. File Subject. As a general rule mark only one block. In some cases the classification (100-1 CPUSA) will indicate which block to check. The file title itself may indicate in some instances the Bureau emphasis of the investigation.

Where none of the above approaches works, select the block that best reveals why the investigation was initiated. For example, was an investigation begun because of individual activity or institutional affiliation?

20. Biographical details present. Check as many boxes as apply. Check the box marked "public official" only if the subject of the file was elected or appointed to public office in a position of responsibility. Check the box marked "public figure" if the subject of the file is an individual who voluntarily sought public recognition (including writers, actors, private citizens well-known from participation in national events and debates; eg.g, Linus Pauling, Alice Paul); or an individual who is generally known and talked of, well or widely known, the subject of widespread publicity, or a person of common knowledge (John L. Lewis, David Greenglass), either at the time of the investigation or subsequent thereto. Check the remaining categories only to indicate the presence of this type of information. It is not necessary to record which sex, what education, whether employed, etc.

21. Degree of individual participation. Check only one box.

22. Alleged association. If the file relates to a domestic individual or group that is not alleged to be under foreign influence or engaging in criminal activities (e.g., overthrow of the government, criminal conspiracy), check the box marked "other" and specify the association, if any. Do not duplicate categories in 24.

23. Gravity of Activities/Event. Check the box marked "Major" if the event received widespread publicity at the time or at some subsequent time or if the activities ultimately resulted in a major response by the government (early

civil rights activities, early anti-war activities).

24. Type of Organization. Check the box marked "National" in column one if the file is on a national organization or on a local arm of a national organization (e.g., local chapter of NAACP, SDS, NOW). Check only one box in column two indicating the primary purpose of the organization. Check the box marked "Dissident" if the organization has as its primary purpose the explicit disagreement with established government policy (at the local, state, or Federal level). This would include, for example, draft resistance, anti-nuclear and peace organizations; it would not include anarchist groups. Check the box marked "Political" if the organization has as its primary purpose the participation in the formal political process (e.g., Socialists Workers Party,American Nazi Party).

25. Initiation-Development-Results of Case Origin. Check the box that specifies the point of contact with the FBI. If the point of contact was the White House, the Congress, or the Federal judiciary, so specify in "other."

Results. Check one box in part a to indicate whether the case has been referred to another Federal agency," a "state or local agency," referred to a U.S. attorney", or "referred to the Justice Department." Check the box marked "referred to FBI Headquarters" should be used only in the field. If none of the above referrals was taken place, check the box marked "no action." If information in the file allows you to do so, check the box in part b which indicates the final action taken in the case.

26. Primary Value of File. It is agreed that""Administrative Purposes" need not be checked since all FBI case files by definition have residual value for this purpose. The potential legal rights block should be checked if the case

file indicates: (1) deprivation of freedom of movement by being detained, charged, or arrested; (2) deprivation of property (even with a search warrant); (3) deprivation of property when nothing in the case files can account for its presence; and (4) collection and dissemination of derogatory information. This applies even when prosecution occurs in a state court. It is not necessary to mark 27 if only "Potential Legal Rights" is checked in 26. You cannot check both "evidential value" and "historical/informational value" as the primary value of the file. Select the one that captures the essence of the case file. Admittedly, evidential and historical/informational value are not mutually exclusive. Nevertheless, use your best judgment and select only one. Of course, if the case file has no research potential, then simply leave "evidential" and historical/informational" value blocks blank.

27. Research Potential of File. Use the criteria developed by the special work group and subsequently refined to mark the appropriate box. If the file's potential is considered high, medium or low complete the sections on research potential interest and overall assessment.

28. Research Potential Interest. Check as many as three categories that apply. It is not necessary to check that many. In most instances only one category may suffice.

29. Overall Assessment. In general, this section should be checked only if primary value is either evidential or historical/informational. However, the fifth item should be checked whenever it applies (whether or not the primary value of the file is evidential or historical/informational) has been revised (for legal reasons) and now reads "The file reflects the use of "extraordinary"

investigative techniques. Included as "extraordinary" investigative techniques would be the following: "do not file" material; any form of electronic surveillance; mail intercepts; pretext interviews; leaks to members of Congress or to the news media; disruptive counterintelligence activities.

30. Briefly state the specific violation on the line provided.

31. Subject of Case File. (Criminal). Check either "Notorious perpetrator", "unknown subject", or "public official", or check none of the three. A "notorious perpetrator" is an individual who is generally known and talked of, well or widely known, the subject of widespread publicity, or a part of common knowledge, either at the time of the investigation or subsequent thereto. Check "unknown subject" only when the subject of the case is unidentified; i.e., anonymous. A "public official" is anyone who holds a Federal, state, or local office. Check the box marked "more than one person" if more than one person was involved in the crime under investigation. Do not attempt to record the number of persons involved. Check the box marked "Organized crime involved" if the file indicates a connection with organized crime. Check the box marked "Notorious crime" if the crime under investigation is generally known and talked of, well or widely known, the subject of widespread publicity, or a part of common knowledge, either at the time of the investigation or subsequent thereto. Check the box marked "Institution/organization" if the crime under investigation was alleged to have been committed by an institution or organization (e.g., a university depriving an individual civil rights).

32. Position for which considered/position held. Check boxes which apply. The box marked "Executive, Congressional, Judicial" should be checked if the applicant being investigated is being considered for an executive position within the

executive branch, a congressional position, or a judicial position. Limited background investigations were conducted for "non-professionals" involved in the construction and maintenance of AEC facilities.

33. Derogatory information present. Check this box if derogatory information about an applicant has been included in a summary document in the file.

34. State the specific subject of the administrative file.

35. Administrative file content. Check as many boxes as apply. This section complements File Content sections on the face of the data sheet.

36. Origin of File. Check the box which applies.

37. Disposition of File. Check the box which applies.

BASIC CASE FILE INFORMATION

1 [ ][ ] APPRAISER

2 [ ][ ][ ][ ][ ][ ] DATE

CLASSIFICATION DATA

3 [ ][ ][ ] [ ][ ][ ][ ][ ][ ] [ ]
CLASS CASE NUMBER ALPHA

5 [ ][ ][ ][ ][ ][ ] [ ]
SUBSTITUTE NUMBER ALPHA

4 FILE DISPOSITION

- [ ] EXTANT
- [ ] DESTROYED
- [ ] RECLASSIFIED
- [ ] RENUMBERED WITHIN CLASS
- [ ] OTHER: _____

6 FILE SIZE

- [ ] 1 SECTION - UP TO ½"
- [ ] 1 SECTION - OVER ½"
- [ ] 2-4 SECTIONS
- [ ] 5-10 SECTIONS
- [ ] OVER 10 SECTIONS (SPECIFY)

7 FILE STATUS

- [ ] IN CENTRAL FILE
- [ ] IN SECURE AREA
- [ ] MICROFILMED
- [ ] PENDING -P-
- [ ] CLOSED -C-

8 TYPE

- [ ] HEADQUARTERS
- [ ] FIELD [ ][ ][ ]
- [ ] LEGAT

- [ ] OFFICE OF ORIGIN
- [ ] AUXILLARY OFFICE
- [ ] RESIDENT AGENCY

9 ORIGIN

[ ][ ][ ] OFFICE OF ORIGIN

[ ][ ][ ] [ ][ ][ ][ ][ ][ ] [ ]
NUMBER ASSIGNED

10 AUXILLARY INFORMATION

[ ][ ] NUMBER OF OFFICES INVOLVED

[ ][ ][ ] [ ][ ][ ] [ ][ ][ ]
OTHER CLASSIFICATIONS USED

11 SERIAL INFORMATION

[ ][ ][ ][ ][ ] HIGHEST NUMBERED SERIAL

[ ][ ] [ ][ ] [ ][ ] LAST SERIAL DATE

[ ][ ] [ ][ ] [ ][ ] FIRST SERIAL DATE

FILE CONTENT

12 DOCUMENTS PRESENT IN FILE

A ORIGINATED IN FIELD

- [ ] PHYSICAL EVIDENCE
- [ ] PHOTOGRAPHS
- [ ] AFFIDAVITS/DEPOSITIONS
- [ ] SURVEILLANCE LOGS
- [ ] SURVEILLANCE SUMMARIES
- [ ] REPORTS FROM AUXILLARY OFFICES
- [ ] NOTES OF INTERVIEWS
- [ ] ELECTRONIC SURVEILLANCE TRANSCRIPTS/TAPES
- [ ] MEMORANDA (INVESTIGATOR TO AGENT-IN-CHARGE)
- [ ] LETTERHEAD MEMORANDA (LHM)
- [ ] ITEMS MISSING OR NOT ACCOUNTED FOR

B OTHER DOCUMENTS

- [ ] FINGERPRINT REPORT
- [ ] LABORATORY REPORT
- [ ] NEWSCLIPPINGS, PRINTED MATTER, OR EXTRACTS
- [ ] FBI HEADQUARTERS DOCUMENTS
- [ ] "DO NOT FILE" DOCUMENTS
- [ ] SECURITY CLASSIFIED DOCUMENTS

13 INFORMATION ORIGINS

- [ ] BY SUBJECT OF INVESTIGATION
- [ ] FROM A STATE OR LOCAL AGENCY
- [ ] FROM ANOTHER FEDERAL AGENCY
- [ ] FROM A FOREIGN GOVERNMENT
- [ ] UNSOLICITED CORRESPONDENCE
- [ ] INFORMANT
- [ ] ELECTRONIC SURVEILLANCE
- [ ] MAIL INTERCEPT
- [ ] OTHER SENSITIVE INFORMATION

14 SENSITIVE INFORMATION MASKED

- [ ] IRS TAXPAYER INFORMATION
- [ ] GRAND JURY TESTIMONY
- [ ] INFORMANT NAME
- [ ] TITLE III

15 DOCUMENTS FILED SEPARATELY

- [ ] ENCLOSURES BEHIND FILE (EBF)
- [ ] BULKIES
- [ ] "JUNK" MAIL

16 FILE PROCESSING HISTORY

- [ ] FILE RESULTED FROM CONSOLIDATION OF FILES
- [ ] INVOLVED IN FOIA PROCESSING - STAMPED ON COVER
- [ ] INVOLVED IN PRIVACY ACT EXPUNGEMENT - STAMPED ON COVER
- [ ] REFERRED TO WHITE HOUSE
- [ ] DISSEMINATED TO U.S. ATTORNEY
- [ ] DISSEMINATED TO JUSTICE DEPARTMENT
- [ ] SENT TO A CONGRESSIONAL COMMITTEE
- [ ] DISSEMINATED TO ANOTHER AGENCY
- [ ] DISSEMINATED TO A FOREIGN GOVERNMENT
- [ ] FIELD OFFICE "HISTORICAL FILE"

CASE PROCESSING HISTORY

- [ ] AFFECTED BY COURT PROCEEDINGS
- [ ] IDENTIFIED AS "BUREAU SPECIAL" OR "MAJOR CASE"
- [ ] AT FBI FOR INFORMATION ONLY
- [ ] RESULTS NOT KNOWN

CRIMINAL CASE FILE

30 SPECIFIC VIOLATION: _____

31 SUBJECT OF CASE FILE

- ☐ NOTORIOUS PERPETRATOR
- ☐ UNKNOWN SUSPECT (UNIDENTIFIED)
- ☐ PUBLIC OFFICIAL
- ☐ MORE THAN ONE PERSON
- ☐ ORGANIZED CRIME INVOLVED
- ☐ NOTORIOUS CRIME
- ☐ INSTITUTION/ORGANIZATION
- ☐ WELL-KNOWN VICTIM

BIOGRAPHICAL DETAILS PRESENT (ON PERPETRATOR)

- ☐ IDENTIFIED AS "PUBLIC" FIGURE
- ☐ PUBLIC OFFICIAL (INPOSITION OF RESPONSIBILITY)
- ☐ SEX INDICATED
- ☐ EDUCATION
- ☐ OCCUPATION OR EMPLOYMENT
- ☐ RACE OR ETHNICITY
- ☐ RELATIVES MENTIONED
- ☐ RESIDENCE INDICATED
- ☐ MILITARY SERVICE
- ☐ ARREST RECORD
- ☐ BIRTHDATE OR AGE

25 INITIATION-DEVELOPMENT-RESULTS OF CASE

ORIGIN OF CASE

- ☐ CITIZEN COMPLAINT
- ☐ LOCAL/STATE AGENCY
- ☐ FBI FIELD OFFICE
- ☐ U.S. ATTORNEY
- ☐ JUSTICE DEPARTMENT
- ☐ OTHER FEDERAL AGENCY
- ☐ FOREIGN GOVERNMENT
- ☐ INFORMANT
- ☐ OTHER: _____

RESULTS OF CASE

- ☐ NO ACTION
- ☐ REFERRED TO LOCAL/STATE AGENCY
- ☐ REFERRED TO ANOTHER FEDERAL AGENCY
- ☐ REFERRED TO U.S. ATTORNEY
- ☐ REFERRED TO JUSTICE DEPARTMENT FOR PROSECUTION OR OTHER ACTION
- ☐ REFERRED TO FBI HEADQUARTERS
- ☐ ARREST
- ☐ PROSECUTION
- ☐ CONVICTION

:6 PRIMARY VALUE OF FILE

- ☐ ADMINISTRATIVE PURPOSES
- ☐ EVIDENTIAL VALUE
- ☐ POTENTIAL LEGAL RIGHTS
- ☐ HISTORICAL/INFORMATIONAL VALUE

:7 RESEARCH POTENTIAL OF FILE

- ☐ HIGH
- ☐ MEDIUM
- ☐ LOW
- ☐ NONE

28 RESEARCH INTEREST

- ☐ CRIMINAL/JUSTICE
- ☐ ETHNIC/RACIAL
- ☐ ECONOMIC/BUSINESS/ AGRICULTURAL
- ☐ FAMILY
- ☐ INTERNATIONAL RELATIONS/ESPIONAGE
- ☐ LEGAL/CONSTITUTIONAL
- ☐ MEDICAL
- ☐ POLITICAL
- ☐ REGIONAL/LOCAL
- ☐ SOCIAL/MORAL ATTITUDES
- ☐ WOMEN
- ☐ LABOR
- ☐ OTHER: _____

29 OVERALL ASSESSMENT OF FILE

- ☐ THIS FILE MAY BE AN IMPORTANT SOURCE OF INFORMATION ABOUT AN IMPORTANT PERSON, ORGANIZATION, OR EVENT
- ☐ THIS FILE MAY BE AN IMPORTANT SOURCE OF INFORMATION ABOUT SOCIAL CONDITIONS IN THE UNITED STATES
- ☐ THIS FILE DOCUMENTS AN INVESTIGATION WHICH MAY HAVE HAD A SIGNIFICANT IMPACT ON LAW ENFORCEMENT POLICIES OR CRIME SOLVING TECHNIQUES
- ☐ THIS FILE DOCUMENTS AN ACTUAL OR POTENTIAL MAJOR CIVIL DISTURBANCE IN THE UNITED STATES
- ☐ THIS FILE REFLECTS THE USE OF EXTRAORDINARY INVESTIGATIVE TECHNIQUES

COMMENTS: _____

_____

BASIC CASE FILE INFORMATION

1 [ ][ ] APPRAISER

2 [ ][ ][ ][ ][ ][ ] DATE

CLASSIFICATION DATA

3 [ ][ ][ ] [ ][ ][ ][ ][ ][ ] [ ] 5 [ ][ ][ ][ ][ ][ ] [ ]

CLASS CASE NUMBER ALPHA SUBSTITUTE NUMBER ALPHA

4 FILE DISPOSITION

- ☐ EXTANT
- ☐ DESTROYED
- ☐ RECLASSIFIED
- ☐ RENUMBERED WITHIN CLASS
- ☐ OTHER: _____

6 FILE SIZE

- ☐ 1 SECTION - UP TO ½"
- ☐ 1 SECTION - OVER ½"
- ☐ 2-4 SECTIONS
- ☐ 5-10 SECTIONS
- ☐ OVER 10 SECTIONS (SPECIFY)

7 FILE STATUS

- ☐ IN CENTRAL FILE
- ☐ IN SECURE AREA
- ☐ MICROFILMED
- ☐ PENDING -P-
- ☐ CLOSED -C-

8 TYPE

- ☐ HEADQUARTERS
- ☐ FIELD
- ☐ LEGAT [ ][ ][ ]
  - ☐ OFFICE OF ORIGIN
  - ☐ AUXILLARY OFFICE
  - ☐ RESIDENT AGENCY

9 ORIGIN

[ ][ ][ ] OFFICE OF ORIGIN

[ ][ ][ ] [ ][ ][ ][ ][ ][ ] [ ]

NUMBER ASSIGNED

10 AUXILLARY INFORMATION

[ ][ ] NUMBER OF OFFICES INVOLVED

[ ][ ][ ] [ ][ ][ ] [ ][ ][ ]

OTHER CLASSIFICATIONS USED

11 SERIAL INFORMATION

[ ][ ][ ][ ][ ] HIGHEST NUMBERED SERIAL

[ ][ ] [ ][ ] [ ][ ] LAST SERIAL DATE

[ ][ ] [ ][ ] [ ][ ] FIRST SERIAL DATE

FILE CONTENT

12 DOCUMENTS PRESENT IN FILE

A ORIGINATED IN FIELD

- ☐ PHYSICAL EVIDENCE
- ☐ PHOTOGRAPHS
- ☐ AFFIDAVITS/DEPOSITIONS
- ☐ SURVEILLANCE LOGS
- ☐ SURVEILLANCE SUMMARIES
- ☐ REPORTS FROM AUXILLARY OFFICES
- ☐ NOTES OF INTERVIEWS
- ☐ ELECTRONIC SURVEILLANCE TRANSCRIPTS/TAPES
- ☐ MEMORANDA (INVESTIGATOR TO AGENT-IN-CHARGE)
- ☐ LETTERHEAD MEMORANDA (LHM)
- ☐ ITEMS MISSING OR NOT ACCOUNTED FOR

B OTHER DOCUMENTS

- ☐ FINGERPRINT REPORT
- ☐ LABORATORY REPORT
- ☐ NEWSCLIPPINGS, PRINTED MATTER, OR EXTRACTS
- ☐ FBI HEADQUARTERS DOCUMENTS
- ☐ "DO NOT FILE" DOCUMENTS
- ☐ SECURITY CLASSIFIED DOCUMENTS

13 INFORMATION ORIGINS

- ☐ BY SUBJECT OF INVESTIGATION
- ☐ FROM A STATE OR LOCAL AGENCY
- ☐ FROM ANOTHER FEDERAL AGENCY
- ☐ FROM A FOREIGN GOVERNMENT
- ☐ UNSOLICITED CORRESPONDENCE
- ☐ INFORMANT
- ☐ ELECTRONIC SURVEILLANCE
- ☐ MAIL INTERCEPT
- ☐ OTHER SENSITIVE INFORMATION

14 SENSITIVE INFORMATION MASKED

- ☐ IRS TAXPAYER INFORMATION
- ☐ GRAND JURY TESTIMONY
- ☐ INFORMANT NAME
- ☐ TITLE III

15 DOCUMENTS FILED SEPARATELY

- ☐ ENCLOSURES BEHIND FILE (EBF)
- ☐ BULKIES
- ☐ "JUNK" MAIL

16 FILE PROCESSING HISTORY

- ☐ FILE RESULTED FROM CONSOLIDATION OF FILES
- ☐ INVOLVED IN FOIA PROCESSING - STAMPED ON COVER
- ☐ INVOLVED IN PRIVACY ACT EXPUNGEMENT - STAMPED ON COVER
- ☐ REFERRED TO WHITE HOUSE
- ☐ DISSEMINATED TO U.S. ATTORNEY
- ☐ DISSEMINATED TO JUSTICE DEPARTMENT
- ☐ SENT TO A CONGRESSIONAL COMMITTEE
- ☐ DISSEMINATED TO ANOTHER AGENCY
- ☐ DISSEMINATED TO A FOREIGN GOVERNMENT
- ☐ FIELD OFFICE "HISTORICAL FILE"

CASE PROCESSING HISTORY

- ☐ AFFECTED BY COURT PROCEEDINGS
- ☐ IDENTIFIED AS "BUREAU SPECIAL" OR "MAJOR CASE"
- ☐ AT FBI FOR INFORMATION ONLY
- ☐ RESULTS NOT KNOWN

SECURITY CASE FILE

18 SPECIFIC ALLEGATION: _____

19 FILE SUBJECT

- ☐ AMERICAN CITIZEN
- ☐ FOREIGN NATIONAL
- ☐ UNKNOWN SUBJECT
- ☐ EVENT
- ☐ INSTITUTION/ORGANIZATION
- ☐ OTHER: _____

20 BIOGRAPHICAL DETAILS PRESENT (ON INDIVIDUAL)

- ☐ IDENTIFIED AS "PUBLIC FIGURE"
- ☐ PUBLIC OFFICIAL (IN RESPONSIBLE POSITION)
- ☐ SEX INDICATED
- ☐ EDUCATION
- ☐ OCCUPATION OR EMPLOYMENT
- ☐ RACE OR ETHNICITY
- ☐ RELATIVES MENTIONED
- ☐ RESIDENCE MENTIONED
- ☐ BIRTHDATE OR AGE
- ☐ RECORD OF ARRESTS
- ☐ MILITARY SERVICE

DEGREE OF INDIVIDUAL PARTICIPATION

- ☐ LEADERSHIP
- ☐ MEMBERSHIP

22 ALLEGED ASSOCIATION

- ☐ FOREIGN INFLUENCE
- ☐ CRIMINAL ASSOCIATION
- ☐ OTHER: _____

23 GRAVITY OF ACTIVITIES/EVENT

- ☐ MAJOR

24 TYPE OF ORGANIZATION

- ☐ NATIONAL
- ☐ LOCAL
- ☐ POLITICAL
- ☐ CIVIL RIGHTS
- ☐ ETHNIC
- ☐ DISSIDENT
- ☐ LABOR
- ☐ PROFESSIONAL
- ☐ OTHER: _____

25 INITIATION-DEVELOPMENT-RESULTS OF CASE

ORIGIN OF CASE

- ☐ CITIZEN COMPLAINT
- ☐ LOCAL/STATE AGENCY
- ☐ FBI FIELD OFFICE
- ☐ U.S. ATTORNEY
- ☐ JUSTICE DEPARTMENT
- ☐ OTHER FEDERAL AGENCY
- ☐ FOREIGN GOVERNMENT
- ☐ INFORMANT
- ☐ OTHER: _____

RESULTS OF CASE

- ☐ NO ACTION
- ☐ REFERRED TO LOCAL/STATE AGENCY
- ☐ REFERRED TO ANOTHER FEDERAL AGENCY
- ☐ REFERRED TO U.S. ATTORNEY
- ☐ REFERRED TO JUSTICE DEPARTMENT FOR PROSECUTION OR OTHER ACTION
- ☐ REFERRED TO FBI HEADQUARTERS
- ☐ ARREST
- ☐ PROSECUTION
- ☐ CONVICTION

26 PRIMARY VALUE OF FILE

- ☐ ADMINISTRATIVE PURPOSES
- ☐ EVIDENTIAL VALUE
- ☐ POTENTIAL LEGAL RIGHTS
- ☐ HISTORICAL/INFORMATIONAL VALUE

27 RESEARCH POTENTIAL OF FILE

- ☐ HIGH
- ☐ MEDIUM
- ☐ LOW
- ☐ NONE

28 RESEARCH INTEREST

- ☐ CRIMINAL/JUSTICE
- ☐ ETHNIC/RACIAL
- ☐ ECONOMIC/BUSINESS/AGRICULTURAL
- ☐ FAMILY
- ☐ INTERNATIONAL RELATIONS/ESPIONAGE
- ☐ LEGAL/CONSTITUTIONAL
- ☐ MEDICAL
- ☐ POLITICAL
- ☐ REGIONAL/LOCAL
- ☐ SOCIAL/MORAL ATTITUDES
- ☐ WOMEN
- ☐ LABOR
- ☐ OTHER: _____

29 OVERALL ASSESSMENT OF FILE

- ☐ THIS FILE MAY BE AN IMPORTANT SOURCE OF INFORMATION ABOUT AN IMPORTANT PERSON, ORGANIZATION, OR EVENT
- ☐ THIS FILE MAY BE AN IMPORTANT SOURCE OF INFORMATION ABOUT SOCIAL CONDITIONS IN THE UNITED STATES
- ☐ THIS FILE DOCUMENTS AN INVESTIGATION WHICH MAY HAVE HAD A SIGNIFICANT IMPACT ON LAW

BASIC CASE FILE INFORMATION

1 [ ][ ] APPRAISER

2 [ ][ ][ ][ ][ ][ ] DATE

CLASSIFICATION DATA

3 [ ][ ][ ] [ ][ ][ ][ ][ ][ ] [ ] 5 [ ][ ][ ][ ][ ][ ] [ ]

CLASS CASE NUMBER ALPHA SUBSTITUTE NUMBER ALPHA

4 FILE DISPOSITION

- ☐ EXTANT
- ☐ DESTROYED
- ☐ RECLASSIFIED
- ☐ RENUMBERED WITHIN CLASS
- ☐ OTHER: _____

6 FILE SIZE

- ☐ 1 SECTION - UP TO ½"
- ☐ 1 SECTION - OVER ½"
- ☐ 2-4 SECTIONS
- ☐ 5-10 SECTIONS
- ☐ OVER 10 SECTIONS (SPECIFY)

7 FILE STATUS

- ☐ IN CENTRAL FILE
- ☐ IN SECURE AREA
- ☐ MICROFILMED
- ☐ PENDING -P-
- ☐ CLOSED -C-

8 TYPE

- ☐ HEADQUARTERS
- ☐ FIELD
- ☐ LEGAT [ ][ ][ ]
- ☐ OFFICE OF ORIGIN
- ☐ AUXILLARY OFFICE
- ☐ RESIDENT AGENCY

9 ORIGIN

[ ][ ][ ] OFFICE OF ORIGIN

[ ][ ][ ] [ ][ ][ ][ ][ ][ ] [ ]

NUMBER ASSIGNED

10 AUXILLARY INFORMATION

[ ][ ] NUMBER OF OFFICES INVOLVED

[ ][ ][ ] [ ][ ][ ] [ ][ ][ ]

OTHER CLASSIFICATIONS USED

11 SERIAL INFORMATION

[ ][ ][ ][ ][ ] HIGHEST NUMBERED SERIAL

[ ][ ] [ ][ ] [ ][ ] LAST SERIAL DATE

[ ][ ] [ ][ ] [ ][ ] FIRST SERIAL DATE

FILE CONTENT

12 DOCUMENTS PRESENT IN FILE

A ORIGINATED IN FIELD

- ☐ PHYSICAL EVIDENCE
- ☐ PHOTOGRAPHS
- ☐ AFFIDAVITS/DEPOSITIONS
- ☐ SURVEILLANCE LOGS
- ☐ SURVEILLANCE SUMMARIES
- ☐ REPORTS FROM AUXILLARY OFFICES
- ☐ NOTES OF INTERVIEWS
- ☐ ELECTRONIC SURVEILLANCE TRANSCRIPTS/TAPES
- ☐ MEMORANDA (INVESTIGATOR TO AGENT-IN-CHARGE)
- ☐ LETTERHEAD MEMORANDA (LHM)
- ☐ ITEMS MISSING OR NOT ACCOUNTED FOR

B OTHER DOCUMENTS

- ☐ FINGERPRINT REPORT
- ☐ LABORATORY REPORT
- ☐ NEWSCLIPPINGS, PRINTED MATTER, OR EXTRACTS
- ☐ FBI HEADQUARTERS DOCUMENTS
- ☐ "DO NOT FILE" DOCUMENTS
- ☐ SECURITY CLASSIFIED DOCUMENTS

13 INFORMATION ORIGINS

- ☐ BY SUBJECT OF INVESTIGATION
- ☐ FROM A STATE OR LOCAL AGENCY
- ☐ FROM ANOTHER FEDERAL AGENCY
- ☐ FROM A FOREIGN GOVERNMENT
- ☐ UNSOLICITED CORRESPONDENCE
- ☐ INFORMANT
- ☐ ELECTRONIC SURVEILLANCE
- ☐ MAIL INTERCEPT
- ☐ OTHER SENSITIVE INFORMATION

14 SENSITIVE INFORMATION MASKED

- ☐ IRS TAXPAYER INFORMATION
- ☐ GRAND JURY TESTIMONY
- ☐ INFORMANT NAME
- ☐ TITLE III

15 DOCUMENTS FILED SEPARATELY

- ☐ ENCLOSURES BEHIND FILE (EBF)
- ☐ BULKIES
- ☐ "JUNE" MAIL

16 FILE PROCESSING HISTORY

- ☐ FILE RESULTED FROM CONSOLIDATION OF FILES
- ☐ INVOLVED IN FOIA PROCESSING - STAMPED ON COVER
- ☐ INVOLVED IN PRIVACY ACT EXPUNGEMENT - STAMPED ON COVER
- ☐ REFERRED TO WHITE HOUSE
- ☐ DISSEMINATED TO U.S. ATTORNEY
- ☐ DISSEMINATED TO JUSTICE DEPARTMENT
- ☐ SENT TO A CONGRESSIONAL COMMITTEE
- ☐ DISSEMINATED TO ANOTHER AGENCY
- ☐ DISSEMINATED TO A FOREIGN GOVERNMENT
- ☐ FIELD OFFICE "HISTORICAL FILE"

CASE PROCESSING HISTORY

- ☐ AFFECTED BY COURT PROCEEDINGS
- ☐ IDENTIFIED AS "BUREAU SPECIAL" OR "MAJOR CASE"
- ☐ AT FBI FOR INFORMATION ONLY
- ☐ RESULTS NOT KNOWN

LOYALTY-APPLICANT CASE FILE

32 POSITION FOR WHICH CONSIDERED

- ☐ CIVIL SERVICE PROFESSIONAL
- ☐ EXECUTIVE, CONGRESSIONAL, JUDICIAL
- ☐ INTELLIGENCE
- ☐ INTERNATIONAL
- ☐ MILITARY
- ☐ NON-PROFESSIONAL
- ☐ OTHER: _____

33 ☐ DEROGRATORY INFORMATION PRESENT (IN CASE SYNOPSIS OR SUMMARY SHEET)

20 BIOGRAPHICAL DETAILS PRESENT (ON APPLICANT)

- ☐ IDENTIFIED AS "PUBLIC FIGURE"
- ☐ PUBLIC OFFICIAL (IN RESPONSIBLE POSITION)
- ☐ SEX INDICATED
- ☐ EDUCATION
- ☐ OCCUPATION OR EMPLOYMENT
- ☐ RACE OR ETHNICITY
- ☐ RESIDENCE INDICATED
- ☐ RELATIVES MENTIONED
- ☐ BIRTHDATE OR AGE
- ☐ ARREST RECORD
- ☐ MILITARY SERVICE

25 INITIATION-DEVELOPMENT-RESULTS OF CASE

ORIGIN OF CASE

- ☐ CITIZEN COMPLAINT
- ☐ LOCAL/STATE AGENCY
- ☐ FBI FIELD OFFICE
- ☐ U.S. ATTORNEY
- ☐ JUSTICE DEPARTMENT
- ☐ OTHER FEDERAL AGENCY
- ☐ FOREIGN GOVERNMENT
- ☐ INFORMANT
- ☐ OTHER: _____

RESULTS OF CASE

- ☐ NO ACTION
- ☐ REFERRED TO LOCAL/STATE AGENCY
- ☐ REFERRED TO ANOTHER FEDERAL AGENCY
- ☐ REFERRED TO U.S. ATTORNEY
- ☐ REFERRED TO JUSTICE DEPARTMENT FOR PROSECUTION OR OTHER ACTION
- ☐ REFERRED TO FBI HEADQUARTERS
- ☐ ARREST
- ☐ PROSECUTION
- ☐ CONVICTION

26 PRIMARY VALUE OF FILE

- ☐ ADMINISTRATIVE PURPOSES
- ☐ EVIDENTIAL VALUE
- ☐ POTENTIAL LEGAL RIGHTS
- ☐ HISTORICAL/INFORMATIONAL VALUE

27 RESEARCH POTENTIAL OF FILE

- ☐ HIGH
- ☐ MEDIUM
- ☐ LOW
- ☐ NONE

28 RESEARCH INTEREST

- ☐ CRIMINAL/JUSTICE
- ☐ ETHNIC/RACIAL
- ☐ ECONOMIC/BUSINESS/AGRICULTURAL
- ☐ FAMILY
- ☐ INTERNATIONAL RELATIONS/ESPIONAGE
- ☐ LEGAL/CONSTITUTIONAL
- ☐ MEDICAL
- ☐ POLITICAL
- ☐ REGIONAL/LOCAL
- ☐ SOCIAL/MORAL ATTITUDES
- ☐ WOMEN
- ☐ LABOR
- ☐ OTHER: _____

29 OVERALL ASSESSMENT OF FILE

- ☐ THIS FILE MAY BE AN IMPORTANT SOURCE OF INFORMATION ABOUT AN IMPORTANT PERSON, ORGANIZATION, OR EVENT
- ☐ THIS FILE MAY BE AN IMPORTANT SOURCE OF INFORMATION ABOUT SOCIAL CONDITIONS IN THE UNITED STATES
- ☐ THIS FILE DOCUMENTS AN INVESTIGATION WHICH MAY HAVE HAD A SIGNIFICANT IMPACT ON LAW ENFORCEMENT POLICIES OR CRIME SOLVING TECHNIQUES
- ☐ THIS FILE DOCUMENTS AN ACTUAL OR POTENTIAL MAJOR CIVIL DISTURBANCE IN THE UNITED STATES
- ☐ THIS FILE REFLECTS THE USE OF EXTRAORDINARY INVESTIGATIVE TECHNIQUES

COMMENTS: _____

_____

BASIC CASE FILE INFORMATION

1 [ ][ ] APPRAISER

2 [ ][ ][ ][ ][ ][ ] DATE

CLASSIFICATION DATA

3 [ ][ ][ ] CLASS [ ][ ][ ][ ][ ][ ] CASE NUMBER [ ] ALPHA

5 [ ][ ][ ][ ][ ][ ] SUBSTITUTE NUMBER [ ] ALPHA

4 FILE DISPOSITION

- [ ] EXTANT
- [ ] DESTROYED
- [ ] RECLASSIFIED
- [ ] RENUMBERED WITHIN CLASS
- [ ] OTHER: _____

6 FILE SIZE

- [ ] 1 SECTION - UP TO ½"
- [ ] 1 SECTION - OVER ½"
- [ ] 2-4 SECTIONS
- [ ] 5-10 SECTIONS
- [ ] OVER 10 SECTIONS (SPECIFY)

7 FILE STATUS

- [ ] IN CENTRAL FILE
- [ ] IN SECURE AREA
- [ ] MICROFILMED
- [ ] PENDING -P-
- [ ] CLOSED -C-

8 TYPE

- [ ] HEADQUARTERS
- [ ] FIELD
- [ ] LEGAT [ ][ ][ ]
  - [ ] OFFICE OF ORIGIN
  - [ ] AUXILLARY OFFICE
  - [ ] RESIDENT AGENCY

9 ORIGIN

[ ][ ][ ] OFFICE OF ORIGIN

[ ][ ][ ] [ ][ ][ ][ ][ ][ ] [ ]
NUMBER ASSIGNED

10 AUXILLARY INFORMATION

[ ][ ] NUMBER OF OFFICES INVOLVED

[ ][ ][ ] [ ][ ][ ] [ ][ ][ ]
OTHER CLASSIFICATIONS USED

11 SERIAL INFORMATION

[ ][ ][ ][ ][ ] HIGHEST NUMBERED SERIAL

[ ][ ] [ ][ ] [ ][ ] LAST SERIAL DATE

[ ][ ] [ ][ ] [ ][ ] FIRST SERIAL DATE

FILE CONTENT

12 DOCUMENTS PRESENT IN FILE

A ORIGINATED IN FIELD

- [ ] PHYSICAL EVIDENCE
- [ ] PHOTOGRAPHS
- [ ] AFFIDAVITS/DEPOSITIONS
- [ ] SURVEILLANCE LOGS
- [ ] SURVEILLANCE SUMMARIES
- [ ] REPORTS FROM AUXILLARY OFFICES
- [ ] NOTES OF INTERVIEWS
- [ ] ELECTRONIC SURVEILLANCE TRANSCRIPTS/TAPES
- [ ] MEMORANDA (INVESTIGATOR TO AGENT-IN-CHARGE)
- [ ] LETTERHEAD MEMORANDA (LHM)
- [ ] ITEMS MISSING OR NOT ACCOUNTED FOR

B OTHER DOCUMENTS

- [ ] FINGERPRINT REPORT
- [ ] LABORATORY REPORT
- [ ] NEWSCLIPPINGS, PRINTED MATTER, OR EXTRACTS
- [ ] FBI HEADQUARTERS DOCUMENTS
- [ ] "DO NOT FILE" DOCUMENTS
- [ ] SECURITY CLASSIFIED DOCUMENTS

13 INFORMATION ORIGINS

- [ ] BY SUBJECT OF INVESTIGATION
- [ ] FROM A STATE OR LOCAL AGENCY
- [ ] FROM ANOTHER FEDERAL AGENCY
- [ ] FROM A FOREIGN GOVERNMENT
- [ ] UNSOLICITED CORRESPONDENCE
- [ ] INFORMANT
- [ ] ELECTRONIC SURVEILLANCE
- [ ] MAIL INTERCEPT
- [ ] OTHER SENSITIVE INFORMATION

14 SENSITIVE INFORMATION MASKED

- [ ] IRS TAXPAYER INFORMATION
- [ ] GRAND JURY TESTIMONY
- [ ] INFORMANT NAME
- [ ] TITLE III

15 DOCUMENTS FILED SEPARATELY

- [ ] ENCLOSURES BEHIND FILE (EBF)
- [ ] BULKIES
- [ ] "JUNK" MAIL

16 FILE PROCESSING HISTORY

- [ ] FILE RESULTED FROM CONSOLIDATION OF FILES
- [ ] INVOLVED IN FOIA PROCESSING - STAMPED ON COVER
- [ ] INVOLVED IN PRIVACY ACT EXPUNGEMENT - STAMPED ON COVER
- [ ] REFERRED TO WHITE HOUSE
- [ ] DISSEMINATED TO U.S. ATTORNEY
- [ ] DISSEMINATED TO JUSTICE DEPARTMENT
- [ ] SENT TO A CONGRESSIONAL COMMITTEE
- [ ] DISSEMINATED TO ANOTHER AGENCY
- [ ] DISSEMINATED TO A FOREIGN GOVERNMENT
- [ ] FIELD OFFICE "HISTORICAL FILE"

CASE PROCESSING HISTORY

- [ ] AFFECTED BY COURT PROCEEDINGS
- [ ] IDENTIFIED AS "BUREAU SPECIAL" OR "MAJOR CASE"
- [ ] AT FBI FOR INFORMATION ONLY
- [ ] RESULTS NOT KNOWN

ADMINISTRATIVE CASE FILE

34 SPECIFIC SUBJECT: _____

35 ADMINISTRATIVE FILE CONTENT

- ☐ SPEECHES
- ☐ FBI PRINTED MATERIAL
- ☐ EXPLANATIONS OF PUBLICATIONS
- ☐ STATISTICS
- ☐ DISCUSSIONS OF BUREAU POLICY

36 ORIGIN

- ☐ SUBJECT OF CASE FILE (FOI/PA).
- ☐ OTHER REQUESTOR (FOI/PA)
- ☐ ORGANIZATION
- ☐ OTHER: _____

37 DISPOSITION

- ☐ NO ACTION
- ☐ FORM RESPONSE
- ☐ CONTINUED CORRESPONDENCE
- ☐ LITIGATION

25 INITIATION-DEVELOPMENT-RESULTS OF CASE

ORIGIN OF CASE

- ☐ CITIZEN COMPLAINT
- ☐ LOCAL/STATE AGENCY
- ☐ FBI FIELD OFFICE
- ☐ U.S. ATTORNEY
- ☐ JUSTICE DEPARTMENT
- ☐ OTHER FEDERAL AGENCY
- ☐ FOREIGN GOVERNMENT
- ☐ INFORMANT
- ☐ OTHER: _____

RESULTS OF CASE

- ☐ NO ACTION
- ☐ REFERRED TO LOCAL/STATE AGENCY
- ☐ REFERRED TO ANOTHER FEDERAL AGENCY
- ☐ REFERRED TO U.S. ATTORNEY
- ☐ REFERRED TO JUSTICE DEPARTMENT FOR PROSECUTION OR OTHER ACTION
- ☐ REFERRED TO FBI HEADQUARTERS
- ☐ ARREST
- ☐ PROSECUTION
- ☐ CONVICTION

6 PRIMARY VALUE OF FILE

- ☐ ADMINISTRATIVE PURPOSES
- ☐ EVIDENTIAL VALUE
- ☐ POTENTIAL LEGAL RIGHTS
- ☐ HISTORICAL/INFORMATIONAL VALUE

7 RESEARCH POTENTIAL OF FILE

- ☐ HIGH
- ☐ MEDIUM
- ☐ LOW
- ☐ NONE

28 RESEARCH INTEREST

- ☐ CRIMINAL/JUSTICE
- ☐ ETHNIC/RACIAL
- ☐ ECONOMIC/BUSINESS/ AGRICULTURAL
- ☐ FAMILY
- ☐ INTERNATIONAL RELATIONS/ESPIONAGE
- ☐ LEGAL/CONSTITUTIONAL
- ☐ MEDICAL
- ☐ POLITICAL
- ☐ REGIONAL/LOCAL
- ☐ SOCIAL/MORAL ATTITUDES
- ☐ WOMEN
- ☐ LABOR
- ☐ OTHER: _____

29 OVERALL ASSESSMENT OF FILE

- ☐ THIS FILE MAY BE AN IMPORTANT SOURCE OF INFORMATION ABOUT AN IMPORTANT PERSON, ORGANIZATION, OR EVENT
- ☐ THIS FILE MAY BE AN IMPORTANT SOURCE OF INFORMATION ABOUT SOCIAL CONDITIONS IN THE UNITED STATES
- ☐ THIS FILE DOCUMENTS AN INVESTIGATION WHICH MAY HAVE HAD A SIGNIFICANT IMPACT ON LAW ENFORCEMENT POLICIES OR CRIME SOLVING TECHNIQUES
- ☐ THIS FILE DOCUMENTS AN ACTUAL OR POTENTIAL MAJOR CIVIL DISTURBANCE IN THE UNITED STATES
- ☐ THIS FILE REFLECTS THE USE OF EXTRAORDINARY INVESTIGATIVE TECHNIQUES

COMMENTS: _____

Appendix C

Field Offices Visited

Washington Field Office

All members of the task force examined case files in the Washington Field Office between June 8 and 19, 1981. The examination of case files in Washington continued on an intermittent basis through July 27, 1981. Altogether 2452 cases were reviewed in 157 classifications in the statistical sample. This was supplemented by 111 extras (case files selected from the period of extensive destruction), and 37 specials (comparisons of the Headquarters and Field Office case files for the same investigation).

During the time spent in the Washington Field Office, team members examined classifications 62 and 66, and the 0 file for 56 classifications, and electronic surveillance indices and tapes.

New York Field Office

A team of ten task force members examined case files in the New York Field Office between June 22 and July 2, 1981. The team consisted of Edward Barrese, Greg Bradsher, George Chalou, Susan Falb, Gerald Haines, Donald Harrison, Ethel Hedlin, Jerome Nashorn, Timothy Nenninger, and Trudy Peterson. The project director and deputy director were also in the New York Field Office. Prior to the arrival of the team, Charles Dollar surveyed the extant case files in each classification and recomputed the samples when necessary. Dollar, Chalou, and Harrison supervised the FBI selection and review of case files on June 18 and 19, 1981. All team members supervised this selection and review after June 22, 1981.

Altogether 2804 cases were reviewed in 150 classifications in the statistical sample. This was supplemented by 131 extras and 31 specials.

During the visit, team members examined the Special Agent in Charge's safe, the index to the Central Records System, special indices, classifications 62 and 66, the machine-readable racketeer profile, numerous 0 and 00 files, and electronic surveillance indices and tapes.

Dallas Field Office

A team of five task force members examined case files in the Dallas Field Office. June 24 to 29, 1981. The team consisted of Bruce Ambacher, Sharon Gibbs, Michael Goldman, Michael McReynolds, and Henry Wolfinger. The project director was also in the Dallas Field Office. Prior to the team's visit, Bruce Ambacher surveyed the extant case files in each classification and recomputed the sample when necessary. O'Neill and Gibbs supervised the FBI's selection and review of case files on June 23, 1981. All team members supervised this selection and review after June 24, 1981.

Altogether 839 cases were reviewed in 30 classifications in the statistical sample. In addition 13 specials were examined.

During the visit, team members examined the Special Agent in Charge's Safe, the index to the Central Records System, all special indices as reported in the Federal Register, the exhibits room, and the Field Office's holdings relating to the Kennedy assassination.

O'Neill and Ambacher, accompanied by Tom Dudney of the FBI, visited the Fort Worth Resident Agency to tour the facilities, examine its records holdings practices, and discuss procedures with various special agents.

Chicago Field Office

A team of five task force members examined case files in the Chicago Field Office, July 6 to 14, 1981. The team consisted of Bruce Ambacher, Sharon Gibbs, Michael Goldman, Michael McReynolds, and Henry Wolfinger. The project director was also in the Chicago Field Office. Prior to the team's visit, Bruce Ambacher surveyed the extant case files in the records holding area in each classification and recomputed the sample when necessary. Ambacher and O'Neill supervised the FBI's selection and review of case files on July 6, 1981. All team members supervised this selection and review after July 7, 1981.

Altogether 1305 cases were reviewed in 44 classifications in the statistical sample. In addition 19 specials were examined.

During the visit, team members examined the Special Agent in Charge's safe, the index to the Central Records System, all special indices as reported in the Federal Register, and classifications 62, 66, and 80.

Los Angeles Field Office

A team of ten task force members examined case files in the Los Angeles Field Office, July 20 to 30, 1981. The team consisted of Bruce Ambacher, Greg Bradsher, George Chalou, Susan Falb, Sharon Gibbs, Gerald Haines, Donald Harrison, Ethel Hedlin, Michael McReynolds, and Timothy Nenninger. The project director and deputy director were also in the Los Angeles Field Office. Prior to the arrival of the team, Charles Dollar surveyed the extant case files in each classification and recomputed the samples when necessary. Dollar and Ken Rossman of the NARS Federal Archives and Records Center in Laguna Niguel supervised the FBI's selection and review of case files on July 16 and 17, 1981. All team members supervised this selection and review after July 20, 1981.

Altogether 2101 cases were reviewed in 139 classifications in the statistical sample. This was supplemented by 199 extras and 48 specials.

During the visit, team members examined the Special Agent in Charge's safe, all special indices as reported in the Federal Register, the extant Personal and Confidential files, the bulky exhibits, numerous 0, 00, and "control files," classification 62, and the Field Office's holdings relating to Japanese Americans and Japanese in the U.S. during World War II.

Miami Field Office

A team of four task force members examined case files in the Miami Field Office, July 21 to 29, 1981. The team consisted of Edward Barrese, Michael Goldman, Trudy Peterson, and Henry Wolfinger. The project director and deputy director were also in the Miami Field Office. Prior to the arrival of the team, Trudy Peterson surveyed the extant case files in each classification and recomputed the samples when necessary. Goldman and O'Neill from the task force and Tom Hudson of the NARS Federal Archives and Records Center in Atlanta supervised the FBI's selection and review of case files on July 19-20, 1981. All team members supervised this selection and review after July 21, 1981.

Altogether 669 cases were reviewed in 36 classifications in the statistical sample. This was supplemented by 70 extras and 20 specials.

During the visit, team members examined the Special Agent in Charge's safe, classification 62 and 66, the electronic surveillance index and tapes, all indices as reported in the Federal Register, and confidential indices.

Atlanta Field Office

A team of four task force members examined case files in the Atlanta Field Office, August 3 to 6, 1981. The team consisted of Edward Barrese, Ethel Hedlin, Jerome Nashorn, and Trudy Peterson. Prior to the arrival of the team, Trudy Peterson surveyed the extant case files in each classification and recomputed the samples when necessary. Peterson and Gayle Peters of the NARS Federal Archives and Records Center in Atlanta supervised the FBI's selection and review of case files on August 1 and 2, 1981. All team members supervised this selection and review after August 3, 1981.

Altogether 370 cases were reviewed in 26 classifications in the statistical sample. This was supplemented by 18 extras and 30 specials.

During the visit, team members examined the Special Agent in Charge's safe, all indices as reported in the Federal Register, and classifications 62 and 66.

Appendix D

Advisors:

Discussions and Advice

Consultants

The National Archives and Records Service Task Force on FBI Records is composed of archivists who have had both research and appraisal experience in areas relevant to the records of the Federal Bureau of Investigation. Nevertheless, the Task Force also sought the advice of other knowledgeable people in developing a retention plan. Accordingly the Task Force discussed its preliminary appraisal decisions with three groups of experts. One, a subcommittee of the National Archives Advisory Council is composed of academics from several disciplines familiar with the mission, procedures, and problems of the National Archives. A second group of academics, an attorney, and a journalist either had extensive experience with FBI records or had expertise in fields where FBI records are relevant. Last, 10 NARS archivists contributed their perspectives on how Task Force appraisal decisions corresponded with their experience. The Director and Assistant Director considered the suggestions of these groups in devising the final retention plan.

The subcommittee of the Archives Advisory Council consists of the following people: Sally E. Kohlstedt, History Professor, Syracuse University; Richard W. Leopold, History Professor, Northwestern University; Arvah E. Strickland, History Professor, University of Missouri; Clement Vose, Political Science Professor, Wesleyan University; and Halliman H. Winsborough, Demography Professor, University of Wisconsin.

The Archives Advisory Council subcommittee recommended individuals to serve as "outside experts." Using their suggestions, along with other information, the Director selected the following people:

Marcellus Barksdale, Ph.D., Duke University; History Professor, Morehouse College, Atlanta, Georgia. His research concerns the civil rights movement.

Howard S. Erlanger, Ph.D., J.D., University of California, Berkeley; Professor in the School of Law and Department of Sociology, University of Wisconsin. His research and publications include the areas of legal rights, public interest law, and violence in America.

Michael Hindus, Ph.D., University of California, Berkeley; J.D., Harvard University; attorney, McCutchen, Doyle, Brown, and Enerson, San Francisco, California. Before becoming an attorney, Dr. Hindus taught in the University of Minnesota's criminal justice program. He participated in the appraisal of the Massachusetts Superior Court records, a project that developed an appraisal methodology similar to the one used by the FBI Task Force. In addition, his research and publications include a history of the treatment of criminals in the nineteenth century.

Richard Kirkendall, Ph.D., University of Wisconsin; Henry A. Wallace Professor, Iowa State University, Ames, Iowa. Before assuming his present position, Professor Kirkendall served as Executive Secretary of the Organization of American Historians and professor of history at Indiana University. His research and publications concern twentieth century American history.

Louis R. Sadler, Ph.D., University of South Carolina; history professor, New

Mexico State University, Las Cruces. Dr. Sadler's research and publications concern Latin America, especially Mexican-United States relations.

Claudine Schweber, Ph.D., State University of New York at Buffalo, criminal justice professor, State University of New York at Buffalo. Her research and publications concern prisons and prisoners. She has also been a consultant to the Federal Bureau of Prisons.

Athan Theoharis, Ph.D., University of Chigago; history professor, Marquette University. Professor Theoharis has written several books concerning domestic intelligence and served as a consultant to the Senate Select Committee on Intelligence Activities (Church Committee).

Sanford Ungar, Co-Host, "All Things Considered," National Public Radio. Mr. Ungar wrote a book-length study of the FBI.

Allen Weinstein, Ph.D., Yale University, History Professor, Smith College, Northhampton, Massachusetts. Professor Weinstein's research and publications concern espionage in recent U.S. history.

The final group reviewing the preliminary appraisal decisions is composed of archivists from the National Archives. All of them have experience with the appraisal and disposition of records. It consists of the following people:

John Butler, Archivist, General Archives Division
Maygene Daniels, Archivist, External Affairs Division
Jean Fraley, Archivist, Records Disposition Division
James Hastings, Deputy Director, Nixon Presidential Materials Project Staff
Robert W. Krauskopf, Archivist, Military Archives Division
Clarence Lyons, Chief, Judicial and Fiscal Branch
James Moore, Assistant Archivist for the National Archives
Ray Mosley, Director, Records Disposition Division
Ken Rossman, Chief, Archives Branch, Federal Reords Center, Laguna Niguel, California
George Scaboo, Acting Assistant Archivist for Federal Records Centers

Before their arrival at the Archives, the outside advisers received a copy of all the documents sent to the court.

The Task Force briefed each of the three groups* on how it conducted the appraisal process. This was followed by discussions of the decision-making process for 3 classifications. Dr. O'Neill then described the final steps in the project.

In the afternoon the consultants examined case files and discussed the corresponding data collection sheets with Task Force members. They spent an additional day discussing specific classifications with the Task Force members.

The briefing sessions had the same format for the three groups, and the papers are contained in Attachments. First, Dr. O'Neill and Dr. Dollar described the

*Michael Hindus received a separate briefing October 16, 1981

background of the project, the working assumptions, and a general picture of the findings. Then Mr Bradsher described the history of the FBI record keeping and the relationship between NARS and the FBI before the 1980 court order.

Dr. Dollar then described the sampling methodology after which Dr. Gibbs discussed the way in which we evaluated the research potential of each file using the Data Collection Sheet. Next Dr. Ambacher explained the process of file review from the time the case numbers were selected until after the Data Collection Sheet was filled out. Dr. Harrison presented the general profiles developed up to that point with respect to Headquarters and Field Office samples and the other categories, multi-section files, "extras," and "specials" (Headquarters - Field Office comparison).

The way in which the Task Force members arrived at the appraisal decisions for each classification was described by Dr. Goldman. Dr. Falb then explained the process by which the retention plan would capture exceptional cases.* The issue of duplication in the Field and Headquarters was discussed by Dr. Peterson. Descriptions of the various indices were presented by Dr. Hedlin and Dr. Nenninger.

To further clarify the appraisal, three Task Force members discussed the appraisal process in greater detail. First, Mr. Wolfinger discussed the decisions for Selective Service Cases (classification 25) many of which had no research value, and as a classification did not appear as useful as the already accessioned records of the Selective Service.

Dr. Nashorn explained how we separated the valuable Espionage, classification 65, records from those that contained no research potential.

In classification 176, Dr. Chalou explained why the Task Force decided to save all the anti-riot cases in Headquarters and the Field.

In the afternoon, the outside experts had an opportunity to examine FBI case files. With the exception of security classified material, they saw the same material reviewed by the Task Force. They observed how a Data Collection Sheet was filled out and why a case file received the research value rating it did. Files were selected to demonstrate high, medium, low and no research potential.

After all the three outside groups had an opportunity to review the recommendations for all 214 classifications, they had an opportunity to question the Task Force. A major point brought out by the Advisory Subcommittee and the outside experts who used quantitative methodologies was the size of a statistical sample. Professors Jensen, Erlanger, and Barksdale were particularly concerned about the need for sub-samples. Professor Winsborough also felt that even the small evidential samples could be used for statistical purposes with a random start. The experts also expressed fears that the exceptional case criteria might not capture all major cases.

*The original presentation was updated to include subsequent criteria (numbers 10-12) and the results of testing the criteria against the exceptional case cards.

The NARS archivists had different questions. Ms. Daniels expressed concern about accepting cases with no research potential that fell under the permanent categories in the retention plan. These archivists questioned the large volume of records that the Archives would eventually accept.

All the outside groups were asked their opinions on several questions. Some supplied comments in follow-up letters to the Task Force Director. In response to queries about our general approach, the outside people had a number of questions and suggestions that would help us clarify our explanation of the methodology and findings. For the most part, the outside groups were noncommital about saving an evidential sample from each classification as long as saving the samples in less important classification did not reduce the amount saved in more significant ones. Dr. Hindus, however, indicated in his letter strong support for retaining at least an evidential sample for each classification, while Professor Erlanger's letter reiterated his concern that the evidential sample not be retained at the expense of more value records.

The topic generating the most controversy was the FBI indexes. In their discussions with the Task Force, some outside advisers, notably Professors Jensen and Barksdale, felt that the Archives should accession index cards for both retained and destroyed cases. Professor Weinstein expressed reservations about the utility of retaining them considering access and expense problems, and the NARS archivists tended to favor retention of cards for permanent files only. Professors Kohlstedt and Theoharis wrote that he felt the disadvantages to total retention outweighted advantages. After considering these opinions, the Task Force decided to retain index cards for permanent records only.

In follow-up correspondence received before November 5, 1981, outside advisers made additional suggestions. Professor Kohlstedt expressed concern about records on Indians in Classification 70, Crime on Government Reservations. She felt that records sanitized for informant identification would still have great value. In two letters, Professor Theoharis made numerous suggestions. His major concerns included files outside of the Central Filing System and the retention of Field Office records in some classifications where this had not been proposed. Mr. Butler questioned the handling of potential legal rights and Dr. Hindus had suggestions for implementing the selection of samples. Among some general concerns about the National Archives, Professor kirkendall proposed further discussions of the meaning of historical value for determining which records are permanent. This report contains changes made as a result of discussions and correspondence with the outside advisers.

Dr. Hindus and Professors Kirkendall, Kohlstedt, and Theoharis in their follow-up letters commended the Task Force and its work. The Task Force performed "most impressively," and prepared "an excellent plan." ". . . The effort, and its product (is) commendable and evidence of the professionalism and integrity of the National Archives staff."

Value and Research Potential

Although the work of the FBI Task Force may be distinguished from other archival appraisal projects by the intensity of its approach, it shares with all appraisal activity undertaken by the National Archives the common goal of identifying agency records worthy of continued preservation by the Federal government. In the context of the Federal Bureau of Investigation, achievement of this goal has for the most part meant evaluation of the constituent parts of the Bureau's Central Records System.

Our assessment of the value of FBI case files has essentially relied upon traditional principles of archival appraisal. These principles dictate that a given file be judged first on the basis of the evidence it contains of the organization and function of the creating agency and second on the basis of the information it contains about individuals, organizations, events and conditions of general historical interest. For Bureau case files selected for examination by the sampling procedure, the results of each individual appraisal were recorded on the data sheet in the sections marked "Primary Value of File," and "Research Potential of File." Instructions for completing this section of the data sheet constituted a set of ground rules within which task force members exercised their professional judgement. Some understanding of these ground rules or appraisal criteria is crucial to appreciation of decisions about the disposition of FBI records.

As reported in an affidavit submitted to the court on July 20, 1981, an FBI case file can be considered to have passed the test of evidential value if materials in the file effectively document (1) internal FBI operations and procedures; (2) FBI relations with the Department of Justice and other significant official contacts; (3) FBI investigative policies and techniques; (4) FBI public relations activities; (5) controversial Bureau activity; or (6) the role of the Director and his close associates.

An FBI case file can be said to have passed the test of informational value when data is present about an individual who is likely to be of interest to researchers (such as a high public official, a political or labor leader, a prominent businessman or major cultural figure, a member of an extremist group, a notorious criminal, a foreign national engaged in intelligence activity, or a Bureau informant); about a major organization (such as a political party, labor organization, extremist group, government agency or major legitimate business); about an important event (such as a major civil disturbance or demonstration, a major labor-managment dispute, a notorious crime or major legal case); or about social and economic conditions (including race relations, government regulatory activity, drug and alcohol use, family relations, or cultural and intellectual trends).

Ground rules relating to the rating of the research potential of a case file link a high rating with evidence or information that is unique in that it is of such substantive richness and detail that it stands alone as a primary historical source. These same ground rules link a medium rating with evidence or information that is sufficiently rich to be used independently of other FBI case files to significantly complement other historical sources. A low rating is linked by the ground rules to evidence or information that is so lacking in richness and detail that it has significance as a modest supplement to available historical sources only in the context of other case files in the

same classification. According to the ground rules a rating of no research potential is reserved for evidence or information which is so ordinary and routine that it has no significance as a historical source even in the context of other case files in the same classification.

Working within these guidelines, task force members assigned high research potential ratings to files documenting investigations of alleged jury tampering involving James Hoffa and of the Cuban Nationalist Movement, medium research potential ratings to a case involving a relatively famous impersonator who ran a school for draft evaders during World War II and to a file documenting investigation of Communist connections in the entertainment industry, and low to many case files documenting investigations of crimes committed on Indian reservations which together present a picture of social conditions in a specific context.

Each of these ratings as well as the thousands of others assigned in the course of the project represents a professional archival decision made in the context of a working knowledge of the record keeping practices of the Bureau, a familiarity with archival resources available to historians of 20th century American history and personal experience with the demands of historical research.

Examining Case Files

The appraisal of case files in the Central Records System was based on the examination of a statistically valid sample of records from each classification with extant files in Headquarters and the New York, Los Angeles, and Washington Field Offices and from those classifications with more than 1500 case files in the Dallas, Chicago, Miami, and Atlanta Field Offices. This aspect of the appraisal process was predicated upon three concepts: The FBI was to have no role in the selection of case files to be examined. The information obtained from the case files was to be standardized as much as possible through the use of the data collection sheets. Finally, valid conclusions about the classification could be drawn from the case files reviewed in the statistical sample.

The case files in the sample were determined through a computer-generated list of case file numbers. This list was based on the sampling ratio and a random first case file number starting position. The list of case numbers in a classification was given to an FBI staff member each morning. In NARS presence, the FBI completed "charge-out" slips to replace each case file in the Central Records System. An FBI-NARS team then went into the file area to obtain the case files. All extant case files were obtained. When a designated case file was missing and not charged out, or had been destroyed, a substitute case was selected using a formula of selecting the previous case file for even-numbered cases and the next case file for odd-numbered cases. All cases which were charged out were located and made available for NARS review. All cases transferred to the Special File Room were retrieved by an FBI-NARS team which entered the room unannounced to obtain the designated files. The NARS person annotated the computer-generated "pull" sheet for all substitutions or changes.

Following the selection of case files, the FBI reviewed the files (in NARS' presence) to identify and mask any sensitive information which NARS could not use. This was limited to the names of informants, Internal Revenue Service taxpayer information from tax returns, grand jury testimony, and request and court order for electronic surveillance under Title III. Informant names were taped over; the other items were covered or placed in large envelopes. The FBI reviewer and a designated NARS staff member initialed and dated each envelope or cover sheet. Once this review and masking was completed, the case files were turned over to NARS for archival review.

NARS maintained all case files in locked file cabinets under its control from the time a case file was selected until all review was completed. The pull, review, and appraisal process was paced to minimize the number of files retained in the locked cabinets overnight. The archival review process involved reading the case file and completing a data collection sheet for each case file reviewed.

The data collection sheet standardized the information recorded about case files. Reviewers noted the presence or absence of the required information including physical characteristics of the file (size, location, date span, type of record), document types in the file, information in the file and its origins, file and case processing history, results of the case, and its research potential and interest. Detailed guidelines for defining specific items and for completing the data collection sheet provided greater uniformity

in the information captured. Team leaders reviewed all completed data collection sheets in an effort to improve the accuracy of the results by eliminating obvious ommissions or incorrectly marked items.

In addition to comments on specific case files written on individual data collection sheets, NARS reviewers wrote up their impressions of the classification as a whole. These comments noted characteristics of the case files and their research potential, and often included preliminary appraisal judgements. Whenever a sample exceeded fifteen case files more than one NARS staff member examined some of the case files. This insured a diversity of opinion and perception and enhanced the retention decisions.

There were only slight changes in these procedures for the examination of Field Office case files. Because of the massive destruction of Field Office case files, it was necessary to recalculate the case file numbers in the sample. A NARS staff member went to the Field Offices in advance of the scheduled visit and surveyed the extant cases in each classification to be examined. A new sampling ratio and a new random start interval sample was computed on the basis of the remaining files. The beginning of the "run" used to compute the new sample generally did not correspond to the last case file destroyed. This difference results from the intermittent nature of destruction: files were retained in the midst of destroyed files for several reasons (pending case, Office of Origin file, case subject to litigation, case subject to FOI/PA, etc.). Because of this, selecting substitute case file numbers for non-extant cases was more difficult. If a substitute case could not be obtained in one-half the number to the next case file number in the sample no substitute was selected and the data collection sheet was marked destroyed.) Once the new sample was compiled, the same pull, review, and evaluation procedures were used in the Field that had been used in Headquarters.

How The Task Force Made Its Disposition Decisions on the FBI Records

After the Task Force had reviewed and completed data collection sheets on approximately 18,000 case files at Headquarters and 7 Field Offices for the 214 classifications in the FBI's Central Records System and also had reviewed and collected information on various records outside the central system (such as specialized indices and machine-readable systems), it was time for the Task Force to make its appraisal decisions. Each member was assigned a number of classifications and, in some cases, other records, for which they prepared preliminary appraisal papers.

The preliminary papers on the 214 classifications first presented a historical synopsis of the classification. This synopsis gives the beginning date of the classification and the basis in law, Executive Order or FBI program responsibility for its creation. The classification's goal and type of investigation is characterized. Any significant changes of emphasis in the evolution of the class is also summarized.

The second portion of the appraisal paper presents data on the volume of records in the classification. For Headquarters NARS obtained accurate information about the number of cases and total volume as well as the number of multi-section cases with their average number of sections and, where appropriate, the number of microfilm reels with the case number of the last case filmed. The information obtained from Field Offices was less complete but did allow the papers to comment on the number of offices opening cases in each classification and the number of cases each office opened as well as to estimate the amount of destruction that had occurred in the Field Offices for each classification. The Task Force supplemented this incomplete information from the FBI regarding records in Field Offices with its own experience at 7 Field Offices.

In the following Profile section of the paper the data collected by the Task Force on each classification was summarized and analyzed. The Profile section gave the ratings for the cases reviewed at Headquarters and at Field Offices (i.e., the number of highs, mediums, lows, and nones). Where appropriate, data on other cases reviewed outside the regular sample was also highlighted. These included additional multi-section cases read at Headquarters to text the multi-section file theory, "extra" cases that are cases in Field Offices still extant from periods where most cases were destroyed, and "Special" cases that are comparisons of Office of Origin cases in the field to corresponding Headquarters cases previously read by the Task Force. The Profile section analyzed any correlations between the ratings and such other data elements as the amount of biographical detail, presence or absence of electronic surveillance or extraordinary techniques, results of the case, or size of the case in volume or number of serials. Finally, the Profile section used the comments on the data collection sheets and the general summary comments written by Task Force members immediately after reviewing all their assigned cases in the classification to characterize the typical subjects, kinds of information, and the course of an investigation in a classification and particularly to distinguish the kind of cases having research potential from those lacking research potential.

After presenting all this information the author of the preliminary appraisal paper drafted a disposition recommendation for the classification with

arguments justifying the recommendation. Copies of the preliminary papers distributed to the Task Force members served as a starting point for the discussion of each classification that preceded the group's formulation of its disposition recommendation.

The group reached its decisions on its recommendations by majority vote. The decisions on some types of records were easy. The Headquarters 00 file was always permanent in order to document policy and procedure. Although the FBI said the Headquarters 0 file was merely public correspondence and nut mail, NARS found these files sometimes contained substantive materials and these findings were accepted without controversy in deciding on a classification by classification basis whether to dispose of the entire 0 file, to keep the entire 0 file, or to keep only part of the 0 file. Exceptional cases were always permanent at Headquarters and at Offices of Origin in the Field.

Decisions on the other types of records were harder. Sometimes the choices provoked considerable debate and occasionally the Task Force decided upon its recommendations by close votes. The first choice was whether to keep all or only some of the case files in a classification. If all cases were not retained, the question became which cases should be permanent. Two types of samples were advocated as appropriate for different classifications: a systematic evidential sample to illustrate the nature of the Bureau's investigations in the classification or a systematic informational sample to capture an aggregate of information useful for sociologists, criminologists and social historians who employ statistical techniques to discern significant patterns in the activities of obscure people. Another question was whether the data for the classification indicated that all multi-section cases had research potential and should be saved. Where the data indicated that all cases with X or more serials had research potential, the use of a serial count was proposed to separate the cases that would be permanent from those that would be disposable. In some classifications qualitative criteria were proposed to select the cases with research potential. For example, if a criminal classification included both major crimes and minor offenses, only cases concerning the major crimes might be retained while cases involving the minor offenses might be made disposable. Another important issue discussed on a classification by classification basis concerned the retention of Headquarters vs. Field Office cases. The question was whether the data for the particular classification indicated that both Headquarters and Field cases merited retention, that only Headquarters cases merited retention, or, as was argued in a few classifications, that only Field cases merited retention.

In discussing these choices the group weighed other relevant considerations. For example, for some classifications the National Archives already had other records from other agencies documenting the same activity or has declared comparable records to permanent. Since the issue frequently was which records would provide the best documentation for scholarly research, the group could draw its archival experience and that of other NARS staff members in making this determination. Attached is a more complete list of what we called "Appraisal Considerations: FBI Project" that were relevant to the group's decisions.

Once the group made its recommendations on the 214 classifications and the other record series outside the central records systems, these preliminary disposition recommendations were forwarded to the project's Deputy Director

and Director for their approval. It was at this point that the Deputy Director determined sample sizes and methods for drawing samples. After these decisions were made final appraisal reports were prepared to explain the Task Force's recommendations.

Appraisal Considerations, FBI Project

Physical and intellectual characteristics of the classification

--Does the classification contain investigations of a single type or multiple types of violations?
--What changes occurred in the classification over time?
--What is the current volume of records? What is the rate of accummulation?
--How extensive is the destruction?
--What level of research value is found in Headquarters? In Field and Legats?
--Is there a correlation between size of the file and research value?
--Is there a correlation between any other identifiable characteristic of the file and research value?
--Is the Office of Origin in Headquarters or in the Field?
--Is there a difference in research value between Office of Origin and Auxiliary Office files?
--Are certain Field Offices exceptionally important for this type of investigation?
--Is it feasible to develop a sample from all Field Offices? From one? From several?

Duplication and linkage of the classification

--Does the National Archives hold other records documenting the same activity?
--What is the disposition, by schedule, of records of another agency documenting the same activity?
--Can the FBI records be linked to the records of another agency? How easily?
--Does the FBI have primary, shared or a secondary jurisdiction for this violation?
--Are these records a primary source or a secondary source of information on the violation? If a secondary, are they necessary to document the violation?
--Are there other sources in Bureau records for information on the Bureau's activity in this investigative area? What is the disposition of these records? Are they sufficient documentation for evidential purposes.?
--Are other violations investigated by the Bureau closely linked to the violation in the classification under consideration?

Information in the case files

--How significant is the violation that is the subject of these files?
--How significant is the information contained in these files about the violation?
--How significant did the Bureau consider the violation?
--What types of information are found in these files?
--How did the case files, reflecting how investigations were actually conducted, compare to stated policies on how they were supposed to be conducted?
--Do the files document the Bureau's use of extraordinary or controversial techniques and/or violations of constitutional rights?
--What types of research can be done from these files? How likely is it that it will be done.
--Is the information amenable to statistical analysis?
--In the absence of such information, would studies in a particular field be impaired?

General Index
Discussion for Advisors

At both Headquarters and the Field Offices, the primary finding aid to information in the FBI's files is the index. Consisting of 3x5" cards arranged in alphabetical order, the basic index system in place today was established in the early 1920's when the case file classification system was implemented. Until recently there have been significant differences between the General Index at Headquarters, however, and the individual indices maintained by each of the 59 field offices.

Headquarters

At last count, there were 65,582,490 cards in the General Index at FBI Headquarters. Most cards fall into 1 of 2 categories - main subject entries and cross-references. Main subject cards are on white paper stock with black lettering, while cross-references are on white stock with red lettering. Cross-references are referred to as "see" cards in Bureau parlance. In addition to the two color-coded entries already noted, there are 3 other types of cards distinguished quickly by color. A buff paper stock is used for summary, testimony, and photograph cards. These cards indicate the case file and document number (called serial number) where statements summarizing the case findings to date, testimony offered in court related to the case, or photographs, respectively, can be found in the case file.

In 1978 the Headquarters General Index was divided into two sections - active and inactive. The inactive Index holds cards for criminal cases which have been closed since 1973 and security cases which have been closed since 1958. All other cards are in the active Index. This division occurred to accommodate the Bureau's plan to automate the Index. Eventually, all cards in the active Index will be entered into the automated system.

The content of index cards and the type of information indexed has changed substantially over the years. Moreover, throughout most of the history of the system, there have been variations in indexing based on the classification in which the case file was placed. Current procedures require that a card be prepared on individuals, organizations, events, etc., that represent the main subject of the case file. See cards are prepared on prime susupects and, where warranted, complaintants, victims, close relatives, and associates. If the individual in charge of indexing believes that other identifying data, such as membership in subversive organizations, should be referenced, that too will be the subject of a see card. Generally the indexing in security-related areas is greater than in criminal, applicant, or administrative matters.

The amount of information placed on the index cards also changed over time. Beginning in 1938, when geographic locality was first noted, information on the subject's birthplace, current address, sex, race, age, and identification numbers (such as social security, FBI fingerprint number, etc.) came to be added. It should be kept in mind, however, that the amount of information likely to be found on an index card varies greatly depending on when the card was prepared, what classification the case was in, and the amount of information available to the classifier.

In the mid-1970's, the process for determining what should be indexed at Headquarters underwent substantial change. Prior to 1976, clerical

employees, called classifiers, made indexing decisions based upon guidelines broken down by classification, and the content of the document being indexed. After 1976, basic indexing decisions became the responsibility of the Special Agent handling the case. The primary reason for this change is to establish uniformity in indexing procedures between Headquarters and the Field Offices. In the past, uniformity had not been necessary or even desirable, but with the move toward an automated indexing system shared by Headquarters and the field, uniformity of data elements was required.

Field

Like Headquarters, Field Office indexes consist of 3x5" cards broken down into main subject and see cards. The field does not use color-coding, however, and does not divide its index into active and inactive categories. Field Offices do apply the same straight alphabetical arrangement as Headquarters to their indexes.

The content of field indexes in the past has differed somewhat from Headquarters. Decisions regarding what to cross-reference have always been made by the case Agent whose judgment is based on knowledge of the case rather than uniform indexing guidelines broken down by classification. In addition, certain types of details, such as telephone numbers, physical descriptions, or license plate numbers, were more likely to appear on cards in the field index than at Headquarters.

No figures exist for the size of all Field Office indexes combined, but the Bureau estimates that it would be approximately 3 times the size of the Headquarters General Index. This suggests that there are approximately 200,000,00 cards in the field. At both Headquarters and in the field, when a case file is destroyed, the index cards relating to that case are also destroyed. Because destruction of case files is much greater in the field than at Headquarters, the Field Office indexes are purged much more frequently.

Disposition Suggestion

The Task Force's preliminary disposition decision regarding index cards at Headquarters and in the field is:

> If the case file has been scheduled for transfer to the National Archives, all main subject and see cards for that case file should also be transferred. All other index cards may be destroyed when their administrative use by the Bureau ceases.

Exceptional Cases

The FBI Task Force considers an exceptional case to have unique historical or evidential importance. Such a case stands on its own and merits retention even if nothing else in that classification were saved. In general, exceptional cases include historically significant individuals, events, or organizations investigated by the FBI; precedent-setting programs; unusual investigative techniques; or landmark legal cases involving FBI investigators.

In determining the retention plans for all classifications, the Task Force developed criteria designed to capture exceptional cases. However, as a "safety net" for the important classifications, and for those classifications where comparatively few cases were retained, the Task Force developed criteria for exceptional cases in order to insure their permanent retention.

The Task Force used several methods for capturing exceptional cases. From the beginning, the Task Force developed a file of named exceptional cases. First, cases were obtained from reading secondary sources related to the FBI and from the media. In addition, examination of case files provided other exceptional cases and their file numbers. Early in the project the Task Force Director solicited suggestions from the academic and archival communities. After the appraisal process was completed, the task force established a set of general criteria to identify virtually all exceptional cases, past and future.

Throughout the project, Task Force members augmented their knowledge of the FBI by reading books and articles directly concerning the Bureau or about events, individuals, or organizations the FBI investigated. A 3 X 5 card was completed with the name, probable classification, source, and a few words of identification for each exceptional case. In addition, cards were completed on people, events, and organizations mentioned by the print and electronic news media.

The cases themselves also provided a valuable source. A card was completed for every exceptional case reviewed. Equally valuable, however, were the cross references to important people and organizations along with their case file numbers obtained from the review of case files. Another source of exceptional cases was the FBI's "Interesting Case Write-ups." The Bureau selected as interesting cases about 2000 files from approximately 1930 through 1970 that it felt would make good magazine articles or radio and TV scripts. Of these, only 200 had archival interest as exceptional cases.

During the spring, the Project Director solicited suggestions from the interested public. He wrote to history department chairs, in the country, the president of every major historical organization, and about 80 individuals including professors of Sociology, Political Science, and English. In addition, he sought exceptional cases from the employees of the National Archives. As a result, the project received more than 150 replies resulting in about 1,000 suggestions. Altogether, more than 3000 exceptional cases have been identified.

The Task Force considered the common denominators of these named cases that could be used to develop general criteria to capture unnamed exceptional cases. Originally the Task Force prepared a list of 45 criteria. That list was reduced to criteria that are both short and specific; criteria that an FBI

employee can implement without exercising judgment. The Court criticized the 1977 criteria for permanent retention as "excessively and unnecessarily vague.... The process which it established relies upon the judgment of FBI clerks to determine what documents will be exempt from destruction...." Court Order., January 10, 1980, p. 13. The following list of 12 criteria meet these specifications:

1. "Bureau Specials," "Major Cases," Bureau-identified Test Cases, and Field Office designated "historical files."
   These designations are either stamped on the file, included in the caption, or written on the top serial.

2. Cases mentioned in annual reports of the Bureau.
   While this criterion will capture some routine as well as exceptional cases, it includes cases the FBI considers significant.

3. Cases mentioned in FBI testimony before or submitted in evidence to a Committee of Congress.
   Besides being named in Committee records, files submitted to Committees are so designated in the case file or stamped on the cover.

4. Cases accepted by the Supreme Court that involved FBI investigations.

5. All control files.
   These are files maintained for the purpose of having all information regarding a specific matter immediately available without the necessity of reviewing numerous case files. They contain copies of serials filed in individual case files.
6. Code Name or Code Word Captioned Cases.
   All cases with either a Code Name (CN) or Code Word (CW) in the Caption in which the intent is to conceal the type of operation or investigation. This does <u>not</u> include Bureau appreviations for violations or classifications (e.g. ITAR, SSA).

7. All case files retained <u>in whole</u> in the Headquarters Special File Room.

8. The 10 Most Wanted Criminals.

9. Any organization on the Attorney General's List of Subversive Organizations.

10. Any Headquarters case file that includes at least one sub-file of clippings.
    This criterion provides an unambiguous method of identifying cases receiving major attention from the media.

11. All case files on subjects of Bureau surveillance as identified by "principal" (subject or target) cards in the ELSUR index in Headquarters.

*12. In Headquarters, all files containing 20 or more sections; in the Office

*This criterion was included as an additional "safety net" based on a comparison of Field Office Data Collection Sheets with

of Origin, all files containing 35 or more sections and their Headquarters correlates; and in Auxiliary Offices, all files containing 50 or more sections and their correlates in the Office of Origin and Headquarters.

After discussion with outside experts, NARS tested 100 named exceptional cases and 35 files in the Headquarters sample rated high against the disposition instructions and the general exceptional case criteria.

NARS created two files of exceptional case cards. One contained numbered cases supplied by Task Force members from reading case files, Interesting Case write-ups, and the notes in secondary literature. Every fortieth card from this file was selected for a total of 50 cards. A substitute was pulled for any card that contained a Field Office number only or an incomplete citation (classification only). An alphabetical set of cards naming people, events, and organizations comprised the second set of case cards. At least one card for every letter of the alphabet and as many as 3 cards for letters containing many cards were selected for a total of 50 cards. No substitutions were made.

Twelve of the 100 cards had no corresponding case files in Headquarters. Of the 88 cases remaining, 10 were "Disposal Not Authorized" (DNA) and were not included in the statistics on disposition instructions. Five cases were on microfilm and one was charged out; these could not be examined for exceptional case criteria and were not included in statistics on exceptional case criteria. Six files failed to meet one type of criteria and the other type was inapplicable. These are not included in statistics on files meeting neither type of criteria.

Our findings were as follows: 71% met disposition instructions (56 of 78); 46% met exceptional case criteria (38 of 82). Five files rated DNA met exceptional case criteria and two files met the exceptional case criteria alone. Of the 82 files for which criteria could be determined, 74% (61) met either disposition instructions or exceptional case criteria or both. One file was a test case and met the exceptional case criteria, but it was on microfilm and was not included in the exceptional case criteria statistics.

The other group of case files tested were the 35 Headquarters highs. Of these, 2 involve classifications that have been scheduled Disposal Not Authorized (DNA). Of the remaining 33 cases, 82% (27) would be retained permanently based on the disposition instructions. Fifteen of the 35 cases would be retained permanently based upon general criteria. One case not caught under the disposition instructions criteria would be saved by the exceptional case criteria. For one case we were unable to ascertain criteria. Of the remaining 34, 82% (28) of those judged high in Headquarters would be declared permanent.

Combining the data for the Headquarters highs and exceptional case cards we find 75% (83 of 111) meet disposition instructions and 45% (53 of 117) met exceptional case criteria. Three met the exceptional case criteria alone and 5 DNA files also met the general criteria. In all, 77% (89 of 116) of the exceptional case files would be permanent under the disposition instructions

classification criteria and the other general criteria.

and/or exceptional case criteria.

This figure is conservative for several reasons. In checking against disposition instructions, we did not know if a particular file might be permanent because its correlate field file is permanent. If these files would be retained only as correlates, they were carried in the statistics as not meeting disposition instructions. However, from our experience in Field Offices we can tell if the Field Office case file probably could meet a criterion such as multi-section or serial count. For example, the number of serials is usually greater in the field. Field Office files may also contain surveillance logs or telephone number checks that add enough bulk to create multi-section files. One Headquarters high and 6 of the other files fall into this category. If the field files were checked against the disposition instructions, more case files in our study might have shown up as permanent.

With respect to exceptional case criteria, NARS could only check if a file had at least one Sub A of clippings, code name or code word captions, major case or Bureau special status, or was stamped as a test case or submitted to a Cogressional Committee. Other criteria, such as inclusion in an annual report, Congressional testimony, or the 10 Most Wanted List, could not be checked. Therefore, more files may meet the general criteria than the statistics indicate.

On the other hand, several of the files meeting neither set of criteria are really not "exceptional." Rather, they concern routine information on exceptional subjects. Only two of the 26 cases not falling under the criteria for retention would present a loss of unique material of significance on exceptional persons, events, or organizations, and it remains possible that these files would be caught under one of the untestable criteria.

The exercise of soliciting and compiling exceptional case cards helped NARS in several ways. First, analyzing them aided development of the general exceptional case criteria. Second, the names suggested by the interested public demonstrated where research interests lie. Those interests were considered in our analyzing of individual classifications. Last, NARS used the cards to test the disposition instructions and general exceptional case criteria.

Exceptional case cards, unless based on actual file examination, represent guesses as to important subjects that the FBI investigated. Moreover, they represent guesses that the files would contain unique information of value to researchers. While in many instances a research subject might be considered "exceptional," the corresponding file had negligible value.

All the files on named subjects compiled during this project will be declared permanent. However, with the completion of the appraisal process, a continuing file of possible exceptional cases should not be necessary. Only 2% of the 88 exceptional case cards examined referred to cases of exceptional quality that would not be saved under testable classification or general criteria. An overwhelming percentage of exceptional cases will be retained using the disposition instructions and general case criteria.

Duplication, Headquarters and Field

One of the key issues facing the FBI Appraisal Task Force was the character and extent of duplication between Headquarters and field case files. Two approaches were used to try to answer the question. First, during the examination of case files at Headquarters, the Office of Origin and its case file number were noted. A list of files reviewed at Headquarters that originated in the Washington, New York, Dallas, Chicago, Los Angeles, Miami, and Atlanta Field Offices was generated. In each Field Office, the task force attempted to locate the correlate case files. In the great majority of the cases, the Office of Origin file had been destroyed. Those that were extant were pulled and reviewed, and data collection sheets were completed.

Because this involved only a comparison of Headquarters files with Office of Origin files, this review was supplemented by a second study. In this study ten classifications were selected, covering security, criminal, applicant, and fraud violations. In each of these classifications, three Headquarters cases from the last third of the cases reviewed were selected. The last third was used because it represented the most recent cases and it was hoped that less destruction in the field would have taken place. FBI Headquarters then requested all Field Offices to send to Headquarters all files relating to these thirty cases (3 from each of the 10 classifications). When the files were received, team members took the Office of Origin file and listed the documents including serial number, correspondents, date, and information content. Then the Headquarters and Auxiliary Office files were checked against the list, again serial by serial, and differences noted. Finally, the reviewer wrote a summary of the differences and similarities among the files.

I. Headquarters - Office of Origin Comparison

One hundred sixty-five identical cases were reviewed in both Headquarters and the Office of Origin. The results in terms of research value are shown in the table below.

Research Value:
Headquarters and Field Office/Office of Origin

Headquarters	Office of Origin: High	Office of Origin: Medium	Office of Origin: Low	Office of Origin: None
High	1	1		
Medium	1	5	6	4
Low		3	21	28
None		10	13	72

Summary:		
	Same Evaluation	99(60%)
	Headquarters Higher	39(24%)
	Office of Origin Higher	27(16%)
	Total with Headquarters equivalent of Higher	138(84%)

II. Headquarters-Office of Origin-Auxiliary Office Comparison

Of the 30 cases selected in Headquarters by the team, 8 cases in 6 classifications were destroyed in the office of origin. Two of these cases had extant files in Auxiliary Offices; however, without Office of Origin files the comparison of Headquarters and Auxiliary Office records is meaningless. Seven offices were involved in the destruction, which included all 3 cases selected in classification 100. In addition, one file in which Headquarters was the Office of Origin had no remaining Auxiliary Office files. These nine cases were dropped from the comparison.

Four files in which Headquarters is the Office of Origin had extant records in Field Offices. Two of these were in classification 77, applicant, and one each in 2, neutrality, and 65, espionage. The first classification 77 file had 9 serials at Headquarters, 4 at New Haven, 2 in Cleveland, 5 in Albany, and 4 in Buffalo. The only two serials which were not duplicated in the Headquarters file were a serial in New Haven which imposed a reporting deadline and a serial in Albany which was a report from the agent to the Special Agent in Charge, the entire substance of which was included in a serial which appears in the Headquarters file. In this case all substantive information is in the Headquarters (i.e., the Office of Origin) file. The second 77 is different. Headquarters has only one serial, numbered 2. It merely asks the Washington Field Office where the investigative reporting on the case is. The Washington Field Office file, on the other hand, has 5 serials, not including the single document in Headquarters. These 5 serials contain the application, the report of the investigation, and some subsequent investigation. Obviously the substantive information is in the Auxiliary Office.

The case reviewed in classification 2 presents a third picture. In this case the action originates in the Legat in Panama (technically an Auxiliary Office, as Legats are never Offices of Origin), and the first serial in both the Legat and the Headquarters file is identical. However, the second serial in Panama indicates that since no further information has been received, the case is being closed administratively. That information is not present in the Headquarters file. The second serial in the Headquarters file shows that the information was sent to U.S. Customs, and this information does not appear in the Legat file. Here to get the whole picture both cases must be used. The classification 65 file has 13 numbered serials (two numbered 3), a "not recorded", and two enclosures in envelopes. The case involved three Field Offices--New York, Baltimore, and Washington Field--and all 3 Auxiliary Office cases survive. Each has one serial that is not in the Headquarters file: New York has a carbon copy of a request to the telephone company for a check on a telephone number; Baltimore has a memo from the person who did some investigation at Fort Detrick; Washington Field has an agent to SAC memo that reports receiving telephonically the information that Headquarters subsequently provided in serial 1. The Headquarters file includes the results of the telephone check and the Fort Detrick investigation, so the only information unique to the field files is the name of the person the Bureau contacted at the telephone company, the name of the person who performed the investigation at Fort Detrick, and the fact that Washington Field was called in advance of the memo from the Director starting the investigation. None of this seems substantive. The conclusion is that in 2 of these cases the Headquarters file is sufficient, in one case the field file is sufficient, and in one case both cases are required.

The remaining 17 cases were evaluated as 9 completely duplicated in substance at Headquarters, 3 not duplicated in substance at Headquarters, and 5 with problems.

The 9 duplicated cases are in classifications 15, 91, 92 (3 cases), 164 (2), and 209 (2). Six had only the Office of Origin file extant in the field, 3 also had one Auxiliary Office. Two cases were opened in 1972, 1 each in 1973, 1974, 1976, 1977, and 1979, and 2 in 1980. Serials in the Office of Origin ranged from 9 to 76, Auxiliary Office serials ranged from 2 to 13, and Headquarter files ranged from 2 serials to 18. Of the 6 cases where only the Office of Origin file exists in the field, reviewers in each case indicated that particular elements of information are in the Office of Origin file that are not in Headquarters, but that these were not viewed as substantive either to the conduct of the investigation or to the evidence on the offense itself. In one case the Headquarters file contained information not in the files at the Office of Origin. In the 3 cases with one Auxiliary Office file extant the pattern held true: the Auxiliary Offices had serials that were not in either the Office of Origin or Headquarters, but again the reviewers commented that the important information was incorporated in investigative reports sent to both the Office of Origin and Headquarters.

Three cases were reviewed and found to have fuller information in the Field Office file than in the Headquarters file. One case was in classification 65 (dating from 1980), one was in 157 (1976), and one was in 209 (1978). In the 157 file, the reviewer commented that most of the information from the 17 serial Office of Origin file not in the 2 serial Headquarters file concerned the criminal activities and local police arrest records of the subject, his friends, and his relatives. It also had a small amount of information on some local disputes. However, the reviewer said, the basic information that nothing was found linking the subject to extremist activities was sent to Headquarters. In the 209 case, the reviewer found that most of the investigative information from the 27 serial Office of Origin file was included in the 6 serial Headquarters file. What was not included was a newspaper clipping and some information relating to conferences between an agent and the assistant U.S. Attorney concerning a determination to seek indictments. The 65 case has an Auxiliary Office and a Legat file. Although the Headquarters file has, according to the reviewer, all items of substance from the Office of Origin and the Field Office,

The 5 files with problems remain. In the first, a file in classification 15, an 88 serial Office of Origin file was substantially duplicated in the Headquarters file through serial 77. The last serials in the Office of Origin file, however, provide information on legal proceedings in the case and are not in Headquarters. In addition, 2 statistics letters from the Office of Origin were not included in the Headquarters file; current practice at the time the case was active (1978-79) was not to serialize such items. One Auxiliary Office file also contained a statistics letter that was not included, although the basic documentation from that file--a telegram reporting the capture of the fugitive, an arrest report, and a report of the fugitive's appearance before the magistrate--are duplicated in both the Office of Origin and the Headquarters file. A second Field Office sent in a file

believed to relate to the case, but instead it involved the same person as a suspect for a different violation.

The second problem file involved a multiple bank robbery. Here at least six offices had files relating to the case, but in some cases one file contained information on all the robberies, while others maintained separate files of the various offenses. As Headquarters maintained a single file on each offense and the file selected in the sample was not on the robbery on which the subject was finally convicted, it was very thin. The variations in filing practice made comparisons impossible.

A third case was filed as a classifiction 2, Neutrality, in Headquarters but [illegible] in the Office of Origin. Again, the Headquarters case file focused on one investigation involving false assertions made by a mentally unbalanced person and completely duplicated those found in the Office of Origin file except for five routing slips. However, the Office of Origin file is an extremely voluminous control file, of which the correlate serials to the Headquarters case form only a small part. Three Auxiliary Offices had files relating to the unbalanced person, and all of these appear duplicated in the Office of Origin and Headquarters files.

In the fourth problem case, a 157 extremist case, the Office of Origin file had 91 serials and the Headquarters file 1. Once again, however, the Ofice of Origin file contains mainly duplicate copies of documents relating to the group to which the subject of the file belonged. Originals of these documents, according to the reviewer, appear to be in the Office of Origin's main file on the group, and if these are excluded from consideration, the Headquarters file contains most of the information. A single Auxiliary Office had a 5 serial file on the subject, and all but 1 of these serials are in the Office of Origin file. The exception was a memo from an agent to the SAC saying that the office's sources did not know the subject.

The final problem case, another 157 classification, involves a change in the Office of Origin, which means that the fundamental documentation is split. Although all information of value from the first office was sent to Headquartes, that was not true in the second.

Appendix E

Grouped Classifications

Grouped Classifications

Review of administrative materials - in particular the 00 files in the FBI Central Records System--revealed both distinctions and similarities between records created as a result of Bureau investigations. NARS found that in most cases the various classifications comprising the Central Records System preserved substantive distinctions between types of investigations. In some instances, however, 00 file review indicated that establishment of separate classifications obscured similarities between types of investigations. For example, documents in the 00 files for Classification 116 (Department of Energy Applicant) and classification 133 (National Science Foundation) outline virtually identical investigative activity beginning with the form to be completed by the subject of the investigation, the Personnel Security Questionnaire (AEC-1). Other documents in 77-00, 116-00, 118-00, 123-00, 126-00, 128-00, 130-00, 132-00, and 133-00 indicate that all these "applicant type" investigations are limited to the development of information concerning a person's character, associations, and loyalty. In no instance did the Bureau evaluate professional experience or job qualifications, so that the nature of the applicant's work was irrelevant to the investigation. The Bureau is the Office of Origin for every case in these classifications, and in every case, the results of the investigation are reported to the employing agency. The number of documents in the 00 file in these classifications relating to the compilation and reporting of expenses relating to investigations clearly indicates that bookkeeping convenience rather than substantive investigative differences prompted the establishment of the separate applicant classifications 77, 116, 118, 123, 126, 128, 130, 132, and 133.

These considerations led to the decision that for the purposes of sampling for appraisal, classifications 77, 116, 118, 123, 126, 128, 130, 132, and 133, could be considered as one "applicant type group" and a sample drawn from this "group" in proportion to the number of case files it contributed to the Central Records System. Within the sample of 333 applicant type case files thus drawn in Headquarters, an effort was made to select at least five case files from each separate applicant classification in the group and to ensure that larger classifications were represented by a sample size in proportion to the population of the classification within the applicant-type group. The grouping process enabled NARS to reduce the number of files reviewed in some classifications without loss of information essential to the making of appraisal decisions.

Similar considerations led to decisions to group for the purposes of sampling for appraisal a few other investigative classifications in the Central Records System. These include classifications 143, 144, and 168--all relating to investigations of interstate transportation of gambling materials; classifications 121, 138, 140, and 151--all covering phases of the Federal government's loyalty program; classes 192, 193, 194 and 195--all related to violations resulting in interference with interstate commerce; classifications 15, 26, 103, 146, and 148--all covering investigations of violations involving transportation of goods across state lines; and classifications 46, 147, 206, 207, 208, 209, 210, and 213--all related to investigations involving fraud against various agencies of the Federal government.

In each of these groups, as in the applicant group, an effort was made to

include in the sample at least 5 case files from each classification in the group and to ensure that larger classifications were more fully represented in the group sample.

The subsequent review of case files in grouped classifications has supported the initial conclusions relating to similarities between types of information in case files in these classifications. For example, case files in applicant classifications uniformly contain information from the subject of the investigation, from state and local agencies and from other federal agencies. Very little, if any, sensitive information (informant, electronic surveillance, trash cover, etc.) appears in any of the case files.

Appendix F

Special Studies

J. Edgar Hoover's Official and Confidential (O&C) Files

The materials which the FBI terms the Hoover O&C Files consist of approximately 10 feet of records that were in J. Edgar Hoover's office at the time of his death in May, 1972. After Hoover's death, Mark Felt took custody of these records, which eventually were placed in the FBI Special File Room. These records are in at least three distinct segments, each of which is discussed below.

1. One segment of the Hoover Files consists of what truly are J. Edgar Hoover's O&C Files. This material, which has a volume of about 3-4 feet, is comprised of 139 separate file folders arranged alphabetically by the name of the individual or subject to which each file pertains. Most of the folders pertain to specific individuals, but about 40 have subjects as their titles. The files have pink labels which include the letters "OC", except for several folders which were transferred to the O&C Files from Hoover's Personal File shortly before his death--these folders have blue labels and the letters "PF." While these records include a few documents dated in the 1920s and 1930s, almost all of these files were accumulated between 1940 and Hoover's death. Some of the records in the O&C Files are copies of serialized documents, but most are not; many of the documents prepared in the 1940s are on blue or pink stationary which includes pre-printed instructions calling for the destruction of the documents when no longer needed.

The content of the O&C Files is varied. Some of the files pertain to special investigations outside of the Bureau's usual jurisdiction undertaken at the behest of the President of other high ranking officials. For example, one O&C File relates to an FBI investigation of a high government official and allegations of this person's sexual activities. Another O&C folder labeled, "White House Security 1945," concerns a special FBI investigation of leaks to the press concerning sensitive US-Soviet negotiations. Other files pertain to especially significant topics, FBI relations with the Dies Committee; Soviet espionage activities in the United States; FBI liaison activities with the Truman White House, particularly with General Vaughn; FBI counterintelligence activities; and wiretapping and microphone surveillance. Other files relate to rumors and allegations against prominent persons, including files concerning charges against Hoover himself. Some files, however, pertain to matters of less importance or of sensitivity, such as the proposed appointment of an individual to be the Bureau's budget officer or the visit of a Cuban general to the United States during World War II.

2. The second portion of the Hoover O&C Files consists of serialized materials, mostly case files, maintained in Hoover's office because of their sensitivity and/or his personal interest in them. Included are main files on very prominent political figures--former Presidents, cabinet officers, ambassadors, and Congressional leaders. Other case files or serials were of a more routine nature but were of interest to Hoover. Apparently these records were removed from Central Files at his request.

3. The third portion of what the FBI terms the O&C Files consists of about 2-3 feet of miscellaneous material whose provenance is less certain than the 139 O&C files disscussed above. Some of these records clearly were not part of Hoover's Files since they were created after Hoover's death. For example, these records include a file on Congressional contacts which appears to have

been accumulated by Acting Director L. Patrick Gray as part of his effort to determine what kinds of records the FBI had maintained on Members of Congress. Other portions of these records may have been files held by high ranking FBI officials other than Hoover that were gathered by Mark Felt and transferred to the Special File Room when Hoover's Files were placed there. For example, included in this material are records in an envelope marked "Material from JPM,"--the initials JPM presumably stand for John P. Mohr. Also included are materials concerning Martin Luther King that apparently were maintained by William Sullivan. In his memoirs, Mark Felt asserts that he took charge of some materials from Sullivan's files when Sullivan left the Bureau.

Most of the remaining files in this miscellaneous collection probably were maintained in Hoover's office. These files consist primarily of seven volumes of transcripts and summaries of technical surveillance undertaken at the behest of the White House in 1945 and reports and other records accumulated in 1964. It should be noted that lists of the files turned over to the FBI Special File Room by Mark Felt some months after Hoover's death include case files and serialized documents from other files. These records are not now considered part of the Hoover O&C Files and presumably were returned to Central Files or placed in the Special File Room. It is possible that serialized files were separated from the now constituted Hoover O&C Files because they were originally part of Central Files. Also, it is not absolutely certain that all the files described were actually maintained in Hoover's office. It is also possible that even before Hoover's death, some of these records were maintained by Felt.

The following generalizaations can be made concerning the contents of Hoover's Official and Confidential Files:

1. Most of the files relating to individuals concern matters of sensitivity involving important issues and/or prominent individuals.

2. Some name and subject files deal with matters not within the Bureau's normal jurisdiction.

3. With the exception of files that pertain to special investigations, the files are fragmentary; that is, they are not the FBI's primary source of information concerning the subject. Other Bureau files contain additional information on the subjects. For example, those records in the O&C Files that concern the Alger Hiss case consist primarily of a small amount of material brought together in the 1950s to indicate that Hoover had warned the State Department about Hiss before the case became public. This material on Hiss was gathered in connection with the Bureau's assistance to Don Whitehead in his preparation of a history of the FBI. Similarly, the file on Dwight D. Eisenhower consists of a single memorandum prepared by Hoover in 1952 concerning a conference he had with Eisenhower shortly before he became president. There are at least two additional files on Eisenhower within Bureau records.

There are three sets of finding aids to the Hoover O&C Files:

1. A 3 x 5 inch card index arranged alphabetically by name. These cards, which apparently were prepared while Hoover was still alive, contain the

names of individuals mentioned in the O&C Files and guide the user to the file folder which contains references to the individual in question.

2. A list of file folder titles prepared after Hoover's death that also includes very brief descriptions of the content of each folder.

3. Synopses on each individual folder which includes the tile, date span of file, whether or not the file contains derogatory information, and a brief description of the contents of the file.

The Nichols File

In a folder marked "Inventory" filed at the front of the first of two bins containing materials identified by a guide card as the "NICHOLS FILE", there is a document entitled "Instructions From Director on OC File/Classification List." (See Attachment A). The document consists of a memo, dated October 1, 1941, from Hoover to Tolson, Tamm and Nichols; followed by one undated sheet identified as a "Supplemental Index (Since April, 1944)", followed by a folder list dated April 1, 1944.

The October 1 memo (included in a sanitized version as an appendix to the printed Hearings on Inquiry into the Destruction of Former FBI Director Hoover's files and FBI Recordkeeping of the Subcommittee on Government Information and Individual Rights, House Committee on Government Operations) expresses Hoover's desire that "a confidential file be maintained in the office of Mr. (L. B.) Nichols, under his direction and supervision" to include "items believed inadvisable to be included in the general files of the Bureau." An annotation (dated 5/5/44) states "Done & this material indexed & kept in top 3 drawer cabinet LBN/IML."

The October 1, memo also expresses Hoover's desire that (a second) "confidential file in Miss Gandy's Office be rstricted to confidential items of a more or less personal nature of the Director's and items which (he) might have occasion to call for from time to time, such as memoranda to the Department on the Dies Committee, etc."

The supplemental index and folder list appear to constitute an inventory of the confidential file maintained in Nichols' office as of some unknown date. (The supplemental index is not dated.) The history of the "Nichols File" after its establishment is obscure. In particular, its disposition following L. B. Nichols' retirement in 1957 is uncertain. However, W. Mark Felt reports in his book, The FBI Pyramid From the Inside (pp 231-232), that following Hoover's orders in the summer of 1971, he "submitted an instruction to all officials that each furnish...a list of any files which he was holding in his office." In response to this instruction, "Assistant Director Thomas E. Bishop of the Crime Records Division replied that he had one file drawer of miscellaneous records from 15 to twenty years old which had been accumulated in his Division before he retired in 1957." Felt took possession of the contents of Bishop's file drawer and put them in a combination lock file cabinet in his office.

Following Hoover's death in May of 1972, Felt acquired the Director's "Official and Confidential" file (the file described in the October 1 memo as being in Miss Gandy's office?) and placed it in six new two-drawer combination lock file cabinets "side by side" with the files obtained from Bishop and six folders relating to a confidential personnel investigation obtained from Assistant to the Director James P. Mohr. In June of 1972, Felt asked Cornelius Sullivan, an Inspector in the Domestic Intelligence Division, to prepare a complete inventory. Some files listed in the April 1944 memo are not listed in Sullivan's inventory (See Attachment C.) and they are not in the Nichols File as it is presently constituted in the Special File Room. Similarly, some files listed in the Supplementary Index (See Attachment D.) are neither in Sullivan's inventory nor presently in the Nichols File in the Special File Room.

All of the files listed in Sullivan's inventory of Cabinet 5 (including a few file folders not on earlier lists, Attachment E) are presently in the Nichols File in the Special File Room except a file titled "Palestine Situation." There are documents in the folders titled "White House" and "Wire Tapping" which post-date Nichols tenure at the bureau. According to lists of the contents of the Official and Confidential files in Hoover's office, files on some topics (See Attachment F.) were maintianed there as well as in Nichols office.

It would be inaccurate to describe the Nichols File as it exists in the Special File Room as a collection of information gathered about Senators and Congressmen. That such a file once existed is evidenced by a memo filed in 66-3286, the file on Destruction of Bureau Files. The memo, dated November 4, 1972, describes the Bureau's practice (actually initiated by L. B. Nichols in the 50's) of (a) preparing background memos on newly elected Senators and Congressmen and (b) maintaining "reference cards" listing all file references and memo references to Senators and Congressmen. The background memos were either added to or became the first serial in a main file on the Member of Congress. The reference cards, described as a "vital part" of the FBI's Congressional liaison program were maintained (in three copies) in the Crime Research Division. Both of the practices begun by Nichols were discontinued by L. Patrick Gray in June 1973. All copies of the reference cards were destroyed.

In spite of the fact that the existing Nichols File does not live up to its reputation as a cache of Congressional gossip, it does appear to contain important documentation of both the development of and the protection of the famous "Bureau image" and should be retained. For example, in the folder titled "Wire Tapping" there is included an envelope containing 3 X 5 cards serving as a kind of index to 17 cases of technical surveillance practiced by the Bureau in the 1940's. The envelope is marked for L. B. Nichols' eyes only and each card is marked in red ink "Not to be included in running memo." The 17 carded cases are listed in Attachment G. There are documents in almost every Folder in the Nichols File bearing Hoover's blue ink comments.

Felt Files

Any consideration of the files of W. Mark Felt must acknowledge that different people mean different things when they speak of "Felt Files." Some people mean J. Edgar Hoover's "Official and Confidential Files" that were transferred to Felt by Clyde Tolson after Hoover's death in 1972. A discussion of these files including the files of Louis B. Nichols, is found elsewhere in this report. Some people refer to the six volumes of official memoranda from Hoover to Tolson that were maintained by Felt upon Tolson's retirement and were later transferred to Nicholas Callahan. Still other people may include in Felt's files the file cabinets of William Sullivan's files that Felt had located in C. D. Brennan's office and, according to Felt in his book The FBI Pyramid, ordered returned to Bureau files.

The project has uncovered only two references to files in Felt's office other than those listed above. One document, in November 1971, mentioned "the strictly confidential files maintained by the Deputy Associate Director of the Bureau, Mr. Felt." Because of the date, this does not appear to have been any of the sets of materials mentioned above. A second document, dated in May 1973, listed 7 files to be "permanently retained in Mr. Felt's office." A notation on the document in April 1975 says that 2 of these files — those on Elliot Richardson — were "returned to Records Section 4/2/75 for retention in regular file sequence." The other files were examined by project personnel and they were found to be in the central records system, serialized, and related to applicants.

Appendix G

The FBI Appraisal Project Staff

Bruce I. Ambacher (Ph.D., Temple University) has been an archivist in the Machine-Readable Archives Division of the National Archives since 1976. His responsibilities include the appraisal and accessioning of a variety of records created by the Federal government. Prior to joining NARS, he was a faculty member in the Department of History at the University of Texas at Arlington. Dr. Ambacher has presented papers at both archival and historical associations. His publications include several articles as well as an essay in Essays on Urban America (University of Texas Press, 1975). He is a member of the Organization of American Historians, the American Historical Association, the Society of American Archivists, the Society for History in the Federal Government, and the Mid-Atlantic Regional Archives Conference, of whose journal he is associate editor. He is also chairman of the National Archives Assembly's Appraisal Committee.

Edward F. Barrese (Ph.D., George Washington University) has been on the staff of the National Archives since 1974. His positions include reference archivist for the Natural Resources Branch, director of the Modern Archives Institute, and appraisal archivist for the Records Disposition Division. His duties as an appraisal archivist include the inspection of records disposition programs within Federal agencies, the appraisal of Federal records, preparation of reports on the status of records disposition in the Federal government, and presentations to a wide variety of audiences on the appraisal and disposition activities of the National Archives. In 1979-80, he served on the NARS Committee on Revision of Appraisal Criteria. Dr. Barrese is a member of Phi Beta Kappa.

James G. Bradsher (Ph.D. candidate, University of Massachusetts) has been an archivist with the Accession and Disposal Branch of the Washington National Records Center since 1979. His responsibilities include appraising and scheduling Federal records and offering workshops in records disposition. Prior to that he was an archivist with the General Archives Division of the National Archives. He has presented papers on both historical and archival topics, and has published an article on the appraisal of Federal records. Mr. Bradsher has produced records disposition schedules for the Civil and Anti-Trust Divisions of the Department of Justice. Before joining NARS he taught American History at the University of Massachusetts. He is a member of the Organization of American Historians, the American Historical Association, the Society for History in the Federal Government, and the Society of American Archivists.

George C. Chalou (Ph.D., Indiana University) has been on the staff of the National Archives since 1971. He is currently a supervisory archivist with the Reference Branch of the General Archives Division. His previous positions included those of director of the Archives Training Course, and Assistant Branch Chief for Reference where he contributed to appraisal decisions related to military and foreign affairs records. Prior to joining NARS, he was on the faculty of the History Department at Ohio State University. Dr. Chalou is the author of several publications relating to American History and archives administration. He is a member of the Organization of American Archivists, the Society of American Archivists, and the National Archives Assembly.

Charles M. Dollar (Ph.D., University of Kentucky), has served as Director of the Machine-Readable Archives Division and is currently Director of the Technology Assessment Division. Prior to joining NARS in 1974 he was an Associate Professor of History at Oklahoma State University where he specialized in quantitative research techniques and 20th Century U.S. History. He is a Fellow of the Society of American Archivists. Among his publications are "The Fordney-McCumber Tariff of 1922: A Case in Regional Politics," Journal of Southern History, "Appraising Machine-Readable Records," The American Archivist, and "Quantitative History and the Future of Archives," proceedings of the International Congress of Archives. In addition, he is co-author of Historian's Guide to Statistics (1971) and General Editor of Changing Times: A History of the American People (1979, 1981).

Susan Rosenfeld Falb (Ph.D., Georgetown University) is an archivist with the Judicial and Fiscal Branch of the Civil Archives Division. She has reference responsibilities for the records of the Watergate Special Prosecution Force which contain FBI and Justice Department records. Prior to that she was employed by the Machine-Readable Archives Division, with appraisal and accessioning responsibilities. She has had teaching appointments at Cornell, Virginia Commonwealth University, Howard University, and Georgetown University. Dr. Falb has delivered papers on historical topics and has published articles in Reviews in American History and Maryland Historical Magazine. She is a member of Phi Beta Kappa, the Organization of American Historians, the American Historical Association, the American Society for Legal History, and the Mid-Atlantic Regional Archives Conference.

Michael A. Goldman (Ph.D., Rutgers University) has been on the staff of the National Archives since 1973. He has held positions in the Natural Resources Branch and the Declassification Division and is currently an appraisal archivist in the Records Disposition Division. His current responsibilities include the inspection of records disposition programs within Federal agencies, the appraisal of Federal records, and the preparation of reports on the status of records disposition in the Federal Government. Prior to joining NARS, Dr. Goldman taught American History at Upsala College. He has published as essay in The Commissioners of Indian Affairs, 1824 - 1977, (University of Nebraska, 1979), and is a member of Phi Beta Kappa and the Mid-Atlantic Regional Archives Conference.

Sharon L. Gibbs (Ph.D., Yale University) has been on the staff of the National Archives since 1975. Her first position was that of archivist with the Machine-Readable Archives Division where she had appraisal and accessioning responsibility for a wide variety of Federal records. Since 1978 she has been an archivist with the Center for Polar and Scientific Archives. Dr. Gibbs is the author of two books and several articles in the history of science and has taught at Colgate University. She is the History of Science Society's representative on the Joint Committee on the Archives of Science and Technology, and is a member of the Executive Board of the Society for History in the Federal Government. Other professional affiliations include the Archaeological Institute of America and the Society of American Archivists.

Gerald K. Haines (Ph.D., University of Wisconsin - Madison) has been an archivist in the Diplomatic Branch of the National Archives since 1974. Prior to joining NARS he taught in the History Department at the University of Wisconsin - Madison, and Wayne County Community College. He is currently a visiting Associate Professor at the University of Texas at San Antonio and has taught at Northern Virginia Community College. Dr. Haines is the author of several articles on American foreign relations and the co-editor of American Foreign Relations: A Historiographical Review (Greenwood Press, 1981). He is a member of the American Historical Association, the Organization of American Historians, and the Society of Historians of American Foreign Relations. In addition, he has been President of the National Archives Assembly.

Donald F. Harrison (Ph.D., Georgetown University) has been an archivist in the Machine-Readable Archives Division since 1973 with responsibility for appraising and accessioning the records of Defense Department agencies. He has been an adjunct instructor at the University of Rhode Island, the University of Maryland, and the Northern Virginia Community college, and has held the position of Command Historian, U.S. Army, Vietnam. Dr. Harrison has published articles on military history and archival sources. He is a member of the Organization of American Historians, the Inter-University Seminar for the Study of Armed Forces and Society, and the International Association for Social Science. He is also a member of the Mid-Atlantic Regional Archives Association, whose journal he edits.

Ethel W. Hedlin (Ph.D., Duke University) has been a grants analyst for the National Historical Publications and Records Commission since 1979. Prior to joining NARS she held a variety of positions with appraisal responsibilities including those of Corporate Archivist, Wells Fargo Bank, and State Archives Specialist and Institutional Records Specialist with the Ohio Historical Society. Dr. Hedlin has taught archival workshops for the Society of American Archivists, and a course in records management at Franklin University. She has presented papers on historical and archival topics, and has published in the area of business archives. She is a member of the Southern Historical Association, the Society of American Archivists, the Society for History in the Federal Government, and the Mid-Atlantic Regional Archives Conference.

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